

EDITOR'S NOTE

THE FOLLOWING PAGES WERE POOR HARD COPY
AT THE TIME OF FILMING. IF AND WHEN A
BETTER COPY CAN BE OBTAINED, A NEW FICHE
WILL BE ISSUED.

1

85-5024-CSY
atus: GRANTED
PITAL CASE

Title: Michael Kent Poland, Petitioner
v.
Arizona

Court: Supreme Court of Arizona

Counsel for petitioner: Wilhelmsen, H.K.

Counsel for respondent: Grant, Gerald R.

cketed:
uly 5, 1985

de:
85-5023

Entry	Date	Note	Proceedings and Orders
1	Jul 5 1985	G	Petition for writ of certiorari and motion for leave to proceed in forma pauperis filed.
3	Aug 5 1985		Brief of respondent in opposition filed.
4	Aug 8 1985		DISTRIBUTE. September 30, 1985
6	Oct 7 1985		The petition for a writ of certiorari in No. 85-5023 is granted limited to Question 1 presented by the petition. The petition for a writ of certiorari in No. 85-5024 is granted. The cases are consolidated and a total of one hour is allotted for oral argument. *****
7	Oct 19 1985	G	Motion of petitioner for appointment of counsel filed.
8	Oct 29 1985		DISTRIBUTE. Nov. 1, 1985. (Motion of petitioner for appointment of counsel).
9	Nov 4 1985		Motion for appointment of counsel GRANTED and it is ordered that H. K. Wilhelmsen, Esquire, of Prescott, Arizona, is appointed to serve as counsel for the petitioner in this case.
10	Nov 15 1985		Joint appendix filed. VIDE.
11	Dec 10 1985		Brief of petitioner Michael K. Poland filed. VIDE.
13	Dec 21 1985		Order extending time to file brief of respondent on the merits until January 2, 1986.
14	Jan 2 1986		Brief of respondent filed. VIDE.
15	Jan 7 1986		SET FOR ARGUMENT, Monday, February 24, 1986. (4th case)
16	Jan 7 1986		CIRCULATED.
17	Feb 24 1986		ARGUED.

144P

EDITOR'S NOTE

THE FOLLOWING PAGES WERE POOR HARD COPY
AT THE TIME OF FILMING. IF AND WHEN A
BETTER COPY CAN BE OBTAINED, A NEW FICHE
WILL BE ISSUED.

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

2

No. 85-5024

IN THE
SUPREME COURT OF THE UNITED STATES
October Term 1984

MICHAEL KENT POLAND, Petitioner,
vs.
THE STATE OF ARIZONA, Respondent.

PETITION FOR WRIT OF CERTIORARI TO THE
SUPREME COURT OF THE STATE OF ARIZONA

H. K. WILHELMSEN
P.O. Box 2321
Prescott, Arizona 86302

CHARLES ANTHONY SEAN
122 North Cortez Street
Suite 300
Prescott, Arizona 86301

ATTORNEY FOR PETITIONER

Supreme Court, U.S.
FILED
JUL 8 1985
Alexander L. Stevas, Clerk

12800

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

QUESTION PRESENTED FOR REVIEW

Does the double jeopardy clause of the fifth amendment to the United States Constitution prevent the State of Arizona from reimposing the death penalty following retrial, when on appeal from the first trial, the Supreme Court of Arizona struck the only aggravating circumstance to support the death penalty because of insufficient evidence?

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

TABLE OF CONTENTS

Page

QUESTION PRESENTED	i
TABLE OF CASES AND AUTHORITIES	iii
OPINION BELOW	1
JURISDICTION	1
CONSTITUTIONAL PROVISIONS INVOLVED	2
STATEMENT OF THE CASE	2
ARGUMENT	5
CONCLUSION	8
AFFIDAVIT OF SERVICE	9

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

TABLE OF CASES AND AUTHORITIES

<u>Case</u>	<u>Page</u>
Arizona v. Rumsey U.S. 104, S.Ct. 2305, 81 L.Ed.2d 164 (1984)	6,7
Bullington v. Missouri 451 U.S. 430 (1981)	4,6,7
Burks v. United States 437 U.S. 1 (1978)	7
Green v. Massey 437 U.S. 19 (1978)	7
Jones v. Thigpen 741 F.2nd 805 (5th cir. 1984)	7
State v. Poland 645 P.2nd 801 (1981)	3
State v. Michael Kent Poland 698 P.2nd 207 (1985)	1
State v. Patrick Gene Poland 698 P.2nd 183 (1985)	1,2
State v. Jordon 614 P.2nd 825	5
State v. Watson 586 P.2nd 1253 (1978)	2,3
Young v. Kemp 760 F.2nd 1097 (11th cir. 1985)	7,8
<u>Constitutional Provisions</u>	
United States Constitution Fifth Amendment	1
<u>Arizona Statutes</u>	
Arizona Revised Statutes §13-453	2,5
Arizona Revised Statutes §13-454	2,3,5,6

No. _____

IN THE
SUPREME COURT OF THE UNITED STATES
October Term 1984

MICHAEL KENT POLAND, Petitioner,
vs.
THE STATE OF ARIZONA, Respondent.

PETITION FOR WRIT OF CERTIORARI TO
THE SUPREME COURT OF ARIZONA

OPINION BELOW

A copy of the opinion of the Supreme Court of Arizona in the petitioner's case is attached as Appendix I and a copy of the opinion entered in the case of State of Arizona v. Patrick Poland, which is incorporated by reference in petitioner's opinion is attached as Appendix II. The opinion of the Arizona Supreme Court affirming petitioner's conviction may be found at 698 P.2d 207 (1985), which incorporates by reference the opinion affirming the petitioner's brothers' conviction, which may be found in 698 P.2d 183 (1985). A copy of the order of the Supreme Court of Arizona denying reconsideration rehearing is attached as Appendix III.

JURISDICTION

The judgment of the Supreme Court of Arizona was entered on March 20, 1985, a timely motion for rehearing was denied on May 7, 1985. This courts jurisdiction is invoked under 28 U.S.C. §1257(3).

1 CONSTITUTIONAL PROVISIONS INVOLVED

2 The fifth amendment to the United States Constitution

3 states:

4 "No person shall be held to answer
5 for a capital, or otherwise infamous
6 crime, unless on a presentment or in-
7 dictment of a Grand Jury, except in
8 cases arising in the land or naval
9 forces, or in the Militia, when in
10 actual service in time of War or
11 public danger; nor shall any person
12 be subject for the same offence to
13 be twice put in jeopardy of life or
14 limb; nor shall be compelled in any
15 criminal case to be a witness against
16 himself, nor be deprived of life,
17 liberty or property, without due
18 process of law; nor shall private
19 property be taken for public use,
20 without just compensation."

21 STATEMENT OF THE CASE

22 The petitioner and his brother, PATRICK GENE POLAND,
23 were jointly tried and found guilty of first degree murder. The
24 law in effect at the time, A.R.S. 13-453, punishment for murder
25 provides:

26 "A. A person guilty of murder in
27 the first degree shall suffer death or
28 imprisonment in the State Prison for
29 life, without possibility of parole
30 until completion of the service of
31 twenty-five (25) calendar years in
32 the State prison as determined by and
33 in accordance with the procedure pro-
34 vided in §13-454."

35 A.R.S. 13-454, a copy of which is set forth in Appendix
36 IV. provides for a separate hearing before the judge for the pur-
37 pose of determining whether to impose a death penalty or a life
38 sentence without possibility of parole. In determining whether to
39 impose a sentence of death or life imprisonment, the court shall
40 take into account statutory aggravating circumstances as en-
41 numerated in subsection E. In accord with State v. Watson, 586

1 P.2nd 1253 (1978), the petitioner was entitled to present any evi-
2 dence in mitigation at the time of sentencing. The State filed its
3 memorandum seeking the death penalty based upon 13-454(E)(5), the
4 defendant committed the offense as consideration for receipt, or in
5 expectation of the receipt of anything of pecuniary value and 13-
6 454(E)(6), the defendant committed the offense in an especially
7 heinous, cruel or depraved manner. (Appendix V)
8

9 The court by its special verdict, dated April 9, 1980,
10 (Appendix VI) found none of the aggravating circumstances present
11 except that the offense was committed in an especially heinous,
12 cruel or depraved manner. With regard to mitigating circumstances,
13 the court found none of the statutory mitigating circumstances pre-
14 sent. The court did find the petitioner's previous reputation for
15 good character as a mitigating circumstance and that the close
16 family ties that existed between the petitioners and their family
17 and their children as mitigating circumstance. (Appendix VI) The
18 court in imposing the death penalty found that one aggravating cir-
19 cumstance exists and there are no mitigating circumstances suffi-
20 cient to call for leniency. (Appendix VII)
21

22 On joint appeal the petitioner raised issues relating
23 to the guilt phase of the trial and in addition raised the issue as
24 to the finding of the especially heinous, cruel and depraved. The
25 State of Arizona did not cross appeal. The opinion of the State v.
26 Poland is reported in 645 P.2nd 801 (1981), a copy of the opinion
27 is attached as Appendix VIII. The Supreme Court of the State of
28 Arizona reversed the petitioner's conviction on the guilt phase of
29 the trial because of preceudral error. The court went on to find:
30
31

32 "We do not believe it has been shown

1 beyond a reasonable doubt that the
2 murders were committed in an "especially
3 heinous, cruel or depraved manner."
(Appendix VIII, page 28)

4 The Arizona Supreme Court further stated:

5 "It was not until after the trial in
6 this case that we held, in State v.
7 Clark, supra, that A.R.S. §13-454(E)
8 (5), was not limited to "murder for
9 hire" situations, but may be found
10 where any expectation of financial
11 gain was a cause for the murder.
Upon retrial, if the defendants are
again convicted of first degree mur-
der, the court may find the exist-
ance of this aggravating circumstance."
(Appendix VIII, pages 28 and 29)

12 Upon retrial the petitioner and his brother, PATRICK
13 GENE POLAND, were again found guilty of first degree murder during
14 the guilt phase of trial. The prosecution filed a notice of intent
15 to seek the death sentence based upon Arizona Revised Statutes
16 §13-454(E) (5), the defendant committed the offence as consideration
17 for the receipt or in the expectation of the receipt of anything of
18 pecuniary value and Arizona Revised Statutes §13-453(E) (6), the de-
19 fendant committed the offence in an especially heinous, cruel or
20 depraved manner. (Appendix IX)

21 The petitioner's response to the sentencing memorandum
22 took the position that the prosecution is barred from seeking the
23 death penalty by the holding of the United States Supreme Court in
24 Bullington v. Missouri, 451 U.S. 430 (1981). (Appendix X, page 1)
25 The trial court by its special written verdict, dated February 3,
26 1983, found two aggravating circumstances. That the murders were
27 intentionally and premeditatedly committed solely for financial
28 motive and the murders were especially heinous, cruel and depraved.
29 This time the court found the petitioner's previous reputation for
30
31
32

1 good character is not a mitigating circumstance for the reputations
2 were false. (Appendix XI) The petitioner was again sentenced to
3 death on February 3, 1983. (Appendix XII)

4 Upon appeal the petitioner's conviction on the guilt
5 phase of the trial was affirmed by a unanimous court. The sentenc-
6 ing portion of the trial was affirmed by majority of three members
7 of the Supreme Court of Arizona, with two members thereof dissent-
8 ing. Petitioner filed a timely motion for reconsideration which
9 was denied by a majority of three members of the Supreme Court of
10 Arizona.
11

12 ARGUMENT

13 THE DOUBLE JEOPARDY CLAUSE OF THE FIFTH AMENDMENT PRE-
14 VENTS THE STATE OF ARIZONA FROM IMPOSING THE DEATH PENALTY ON THE
15 PETITIONER FOLLOWING RETRIAL.
16

17 Arizona law A.R.S. §13-453, provides for two possible
18 sentences for a defendant that committed a capital murder:

19 "A person guilty of murder in the
20 first degree shall suffer death or
21 imprisonment in the state prison
22 for life, without possibility of
23 parole until the completion of the
24 service of twenty-five calendar
years in the state prison as deter-
mined by and in accordance with the
procedure followed in 13-454."

25 In order for the trial court to impose the death penalty
26 it must find beyond a reasonable doubt, (State v. Jordon, 614 P.2d
27 825, cert. denied 449 U.S. 986 (1980)), that at least one aggravat-
28 ing circumstance enumerated in subsection A.R.S. §13-454(E)
29 exists and that there are no mitigating circumstances sufficient to
30 call for leniency. (A.R.S. §13-454(D) See Appendix IV)
31

32 Following first sentencing trial the court found one

1 aggravating circumstance. A.R.S. §13-454(E)(6). (See Appendix IV)

2 "The defendant committed the
3 offense in an especially heinous,
4 cruel or depraved manner."
5 (Appendix VI, Special Verdict,
6 dated April 9, 1980.)

7 The court imposed the death penalty (Appendix VII,
8 Judgment and Sentence dated April 9, 1980). Upon appeal the Sup-
9 reme Court of Arizona found in regard to the aggravating circum-
10 stance:

11 "We do not believe it has been
12 shown beyond a reasonable doubt
13 that the murders were committed
14 in an "especially heinous, cruel
15 or depraved manner." (Appendix
16 VII, page 28, Opinion of the
17 Supreme Court dated April 13,
18 1982 or 645 P.2d 784, 800 (1982).

19 The three member majority on the second appeal explain-
20 ed its previous ruling as:

21 "Our holding in Poland I, however,
22 was simply that the death penalty
23 could not be based solely upon this
24 aggravating circumstance because
25 there was insufficient evidence to
26 support it." (Appendix II, Opinion
27 dated March 20, 1985, page 31 or
28 698 P.2d 183, 199 (1985).)

29 The petitioner posits that the Supreme Court of Arizona
30 by its opinion of the petitioner's first trial has through double
31 jeopardy acquitted him of the death penalty. In Bullington v.
32 Missouri, 451 U.S. 430 (1981), this court held that double jeopardy
principles apply to the sentencing phase of Missouri's bifurcated
death penalty system. Likewise, this court has previously held
that Arizona's death penalty sentencing procedure is a separate
trial invoking double jeopardy protection. Arizona v. Runsey,
____ U.S. _____, 104 S.Ct. 2305, 81 L.Ed.2d 164, (1984).

The only distinguishing factor from Bullington v. Missouri is the

1 petitioner received a death penalty at both trials. Whereas,
2 Bullington received life following his first trial and death follow
3 ing his second trial. The distinguishing factor from Arizona v.
4 Rumsey, is petitioner was granted a new trial on the guilt phase,
5 but is identical on the sentencing trial in that the sole aggra-
6 vating circumstance exposing the petitioner to the death penalty
7 was struck by the trial court at his first trial, but was found
8 proven at his second trial. Since under Bullington v. Missouri,
9 supra, and Arizona v. Rumsey, supra, double jeopardy applies to the
10 sentencing phase of the bifurcated death penalty system, therefore,
11 a ruling by the Arizona Supreme Court on the first appeal finding
12 insufficient evidence, thereby precludes a second trial on the
13 death penalty issue, in that the double jeopardy clause precludes
14 a second trial once the reviewing court has found the evidence
15 legally insufficient. (Burks v. United States, 437 U.S. 1 (1978)).
16 Green v. Massey, 437 U.S. 19 (1978), (Applying Burks to the States).

17
18 The petitioner's position is not without authority with-
19 in the Federal circuit's courts. The fifth circuit has applied
20 this principle in preventing the State from seeking a second chance
21 to impose the death penalty. Jones v. Thigpen, 741 F.2d 805,
22 (5th cir. 1984), cert. pending. (Thigpen v. Jones, No. 84-1237,
23 filed January 14, 1985.) In Young v. Kemp, 760 F.2d 1097, (11th
24 cir. 1985), page 1101:

25
26
27 "We conclude that the previous
28 judgment of this court left in-
29 tact the districts court's find-
30 ing of insufficient evidence to
31 support the death penalty. That
32 being the case, the double jeopardy
principles announced in Burks v.
United States, 437 U.S. 1, 98 S.Ct.
2141, 57 L.Ed.2d 1 (1978), and

1 Bullington v. Missouri, 451 U.S.
2 430, 101 S.Ct. 1852, 68 L.Ed.2d
3 270 (1981), prevent the state
4 from seeking the death penalty
5 in Young's retrial."

6 The petitioner submits that under the posture of his
7 case and the law as it now exists, the State of Arizona may not im-
8 pose the death penalty upon petitioner following his second trial
9 because of double jeopardy.

10 CONCLUSION

11 The decision of the Arizona Supreme Court rejecting
12 petitioner's constitutional claim of double jeopardy is erroneous
13 and in conflict with decisions of this court. The question raised
14 is substantial as is the consequences of an erroneous judgment. To
15 prevent the forfeiture of the petitioner's life, along with his
16 federal constitutional rights, petitioner respectfully requests that
17 this court grant a writ of certiorari to review the judgment of the
18 Arizona Supreme Court and remand with direction that double
19 jeopardy prevents the imposition of the death penalty.

20 DATED this 5th day of July, 1985.

21
22 H. K. WILHELMSSEN
23 P.O. Box 2321
24 Prescott, Arizona 86302

25
26
27 CHARLES ANTHONY SHAW
28 122 North Cortez, Suite 300
29 Prescott, Arizona 86301
30
31
32

EDITOR'S NOTE

THE FOLLOWING PAGES WERE POOR HARD COPY
AT THE TIME OF FILMING. IF AND WHEN A
BETTER COPY CAN BE OBTAINED, A NEW FICHE
WILL BE ISSUED.

IN THE SUPERIOR COURT OF THE STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

STATE OF ARIZONA,)	
)	
Plaintiff,)	
)	
vs.)	NO. 8850
)	
MICHAEL KENT POLAND and)	<u>SPECIAL VERDICT</u>
PATRICK GENE POLAND,)	
)	
Defendants.)	

Pursuant to the requirements of A.R.S. §13-454 C; Lockett v. Ohio, 438 U.S. 586, 98 S.Ct.2955, 57 L.Ed 2d 973 (1978); and State v. Watson, 120 Ariz. 441, 586 P 2d 1253(1978), this court returns this special verdict of its findings of the existence or non-existence of aggravating circumstances set forth in §13-454E and of any mitigating circumstances.

AGGRAVATING CIRCUMSTANCES

The only information which has been considered by this court relevant to any of the aggravating circumstances set forth in §13-454E is that received in evidence at the trial.

A. The court considers the statutory circumstances as follows:

1. The court finds the aggravating circumstance in §13-454 E(1) is not present.

2. The court finds the aggravating circumstance in §13-454 E(2) is not present.

3. The court finds the aggravating circumstance in §13-454 E(3) is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$251,600.00.

11/1/83

This, then, would be an aggravating circumstance.

4. The court finds the aggravating circumstance in §13-454 E(4) is present.

The cause of death was by drowning. The victims were kidnapped on I-17 in southern Yavapai County, they were transported to Lake Mead. At some time they were placed in canvas bags, taken onto the lake and placed in the water to drown. Such killings were especially heinous, cruel, and depraved.

In applying this provision, the Arizona Supreme Court has said that these words have meanings that are clear. The evidence shows that the killings were carefully planned and cold blooded. This, by itself, is not sufficient, however, as pointed out in *St. v. Madsen* ____ Ariz ____, ____ P2d ____ (filed March 26, 1980) and had the murders taken place at the scene on I-17 they would not likely have been set aside from the norm of first degree murder.

But the facts show the murders were shockingly evil, insensate, and marked by debasement.

The Defendants argue that the State has not shown the victims suffered pain, or that they were not drugged.

The guidelines of *State v. Knapp* 114 Az.531, 562 P2d 704 closely reach this case. In *Knapp* the victims were incinerated. The autopsy shows there was carbon monoxide poisoning as well, a painless death. The nature of the killing itself is sufficient to set it aside from the norm. Placing victims in canvas bags and dropping them to a slow and terrifying death is grossly bad, sadistic and perverse.

MITIGATING CIRCUMSTANCES

All information relevant to any mitigating circumstances, including, but not limited to, those set forth in §13-454 (F), contained in the presentence report, presented at the sentencing hearing, and received in evidence at the trial of the defendants

has been considered by the court.

A. The court considers the mitigating circumstances as follows:

1. The defendants' capacity to appreciate the wrongfulness of their conduct or to conform to the requirements of law was not significantly impaired. The mitigating circumstance of §13-454(F)(1) is not present.

2. The defendants were not under unusual and substantial duress. The mitigating circumstance of §13-454(F)(2) is not present.

3. There is no evidence or information of any kind to permit the court to find the defendants' participation in the murders was relatively minor. The mitigating circumstance of §13-454(F)(3) is not present.

4. There is no evidence or information of any kind to permit this court to find that the defendants could not reasonably foresee that their conduct in the course of the commission of the offense for which they were convicted would cause or would create a grave risk of causing death to another person.

The mitigating circumstance of §13-454(f) (4) is not present.

5. The defendants previous reputation for good character is a mitigating circumstance.

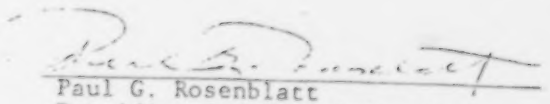
6. The close family ties that exist between the defendants, their families, and their children is a mitigating circumstance.

7. The court has considered the ages of the defendants. Michael Poland is 40 years old. Patrick Poland is 30 years old.

All references in this Special Verdict to the Arizona Revised Statutes are to the sections of those statutes as they were numbered at the time of the commission of the offense and

prior to October 1, 1978.

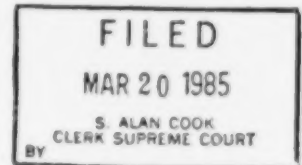
DATED this 9th day of April, 1980.


Paul G. Rosenblatt
Presiding Judge-Division One

MAR 25 1985

Property of Yavapai County
Superior Court Law Library

IN THE SUPREME COURT OF THE STATE OF ARIZONA
In Banc



STATE OF ARIZONA,)
)
Appellee,)
)
v.)
)
PATRICK GENÉ POLAND,)
)
Appellant.)
_____)

No. 4970-2

Appeal from the Superior Court of Yavapai County

Cause No. 8850

The Honorable Paul G. Rosenblatt, Judge

AFFIRMED

Robert K. Corbin, The Attorney General
By Gerald R. Grant
Assistant Attorney General
Attorneys for Appellee

Phoenix

Marc. E. Hammond
Attorney for Appellant

Prescott

CAMERON, Justice

In State v. Poland, 132 Ariz. 269, 645 P.2d 784 (1982)
(Poland I), we reversed defendant Patrick Poland's convictions
for two counts of first degree murder with sentences of death

and remanded for a new trial. Upon remand, defendant was re-tried before a jury and again found guilty of two counts of first degree murder in violation of A.R.S. § 13-1105(A)(1). He was again sentenced to death. A.R.S. § 13-703. We have jurisdiction pursuant to Art. 6, § 5(3) of the Arizona Constitution, and A.R.S. §§ 13-4031 and 13-4035.

Defendant raises the following questions on appeal:

1. Pretrial Issues:

(a) Was defendant improperly denied:

(i) a peremptory change of the trial judge?

(ii) a change of judge for cause?

(b) Did the trial court improperly refuse to strike two jurors for cause?

(c) Did the trial court improperly refuse to allow testimony by an expert on eyewitness identification?

(d) Did the trial court err in refusing to suppress physical evidence obtained as the result of an alleged illegal search and insufficient search warrant?

2. Trial Issues:

(a) Did the trial court err in admitting into evidence defendant's prior conviction for bank robbery?

(b) Was the prior testimony of hypnotized witness, Stanley Sekulski, improperly read to the jury?

(c) Did the trial court commit reversible error by admitting a gruesome photograph into evidence?

(d) In light of our prior ruling in Poland I, supra, that a taser gun was improperly admitted into evidence, did the trial court improperly admit a receipt showing that weapon's purchase, the box for the weapon, and testimony thereon?

(e) Did the trial court err in failing to grant a mistrial when the prosecution introduced a previously undisclosed statement of defendant?

(f) Did the trial court err in failing to define "intent" as part of its jury instruction on aiding and abetting?

3. Death Penalty Issues

(a) Is A.R.S. § 13-703, the death penalty statute, constitutional?

(b) Did reimposition of the death penalty constitute double jeopardy?

(c) Were the aggravating circumstances found in this case proven beyond a reasonable doubt?

(d) Did the trial court improperly refuse to consider certain mitigating factors offered by defendant?

(e) Is defendant's sentence proportional to sentences imposed in similar cases in Arizona?

The facts necessary for a determination of this matter on appeal are as follows:¹

At approximately 8 A.M. on 24 May 1977, a Purolator van containing some \$328,180 in cash left Phoenix on a routine delivery to banks in various towns in northern Arizona. When the van failed to make its deliveries, the authorities were notified. The abandoned van with some \$35,150 in cash was discovered early the next day a short distance off Highway I-17.

The evidence revealed that on the morning of 24 May 1977, a number of passing motorists had noticed a Purolator van pulled

¹ These facts are identical to the statement of facts in Poland I, supra.

over to the side of Highway 1-17 by what appeared to be a police car. Some witnesses identified the two uniformed men as Michael and Patrick Poland. The evidence also showed that on 24 May 1977, Michael and Patrick Poland borrowed a pickup truck and tarpaulin from their father, George Poland. Early on 25 May 1977, Michael Poland rented a boat at the Temple Bar Marina on Lake Mead. He stated that he planned to meet his brother Patrick at Bonelli Landing, a primitive camping area on the Lake, and to do some fishing. At some point, George Poland's truck became stuck in the sand at the water's edge at Bonelli Landing with the tailgate facing the water. After their attempts to extricate it had failed, the Polands called a towing service. Stan Sekulski was the operator of the tow truck. A few days later, the Polands returned their father's truck with a new tarp, explaining the old one had been ruined when they placed it under the wheels of the truck for traction.

Three weeks later, the body of Cecil Newkirk, one of the guards of the Purolator van, surfaced on Debbie's Cove, a small inlet on the Nevada side of Lake Mead. The body was partially covered by a canvas bag. A week later, park rangers searching the area discovered the body of the other Purolator guard, Russell Dempsey, a short distance from the place Cecil Newkirk's body had been found. Autopsies revealed that the most probable cause of death was drowning, although in the case of Mr. Dempsey the pathologist was unable to rule out a heart attack as a possible cause of death. The bodies had been in the water two weeks or longer. There was no evidence that the guards had been

wounded or tied before being placed in the water. Although it was impossible to determine whether they had been drugged, there was no evidence of a struggle. Divers searching the area recovered two other canvas bags, one containing a tarp and blanket. They also brought up two revolvers, which were identified as belonging to the guards, and a license plate bearing the insignia found on Arizona Department of Public Safety automobiles. These were found near a pile of rocks which had evidently fallen out of the bag when it was recovered by a diver. The rocks were of the type found along the shore of Debbie's Cove.

Searches of the homes of Michael and Patrick Poland on 27 July 1977 revealed a number of weapons, including a taser gun, large amounts of cash, and items of police-type paraphernalia. Of particular interest were a scanner and scanner key which were capable of monitoring radio frequencies, a notebook listing local police frequencies, a receipt for a taser gun bearing the name Mark Harris, handcuff cases, and a gunbelt. Both of the Polands' rented cars, light-colored Chevrolet Malibus, had siren-type burglar alarms which could be activated from inside or outside of the car. Evidence also connected the Polands to the purchase of a "light bar" or rack which could be placed on top of an automobile and would resemble a law enforcement light bar or rack. The canvas bags found in the lake were shown to have been purchased by a Mark Harris.

Although neither Michael nor Patrick Poland had regular employment, the evidence showed that they made numerous large

purchases during June and July of 1977. These purchases included appliances, furniture, motorcycles, and a business. Most of the purchases were made in cash or by a cashier's check.

The defense was alibi. Patrick took the stand and testified that both he and his brother had disguised themselves as law enforcement officers and robbed drug dealers on three occasions in early 1977. They testified that they had also been dealing in gems for several months prior to the Purolator incident and that, on 24 May 1977, they had taken a load of raw turquoise to Las Vegas and returned by way of Lake Mead to do some camping.

Michael and Patrick Poland were convicted. They appealed and we reversed and remanded based upon jury misconduct. See Poland I, supra. On remand, defendants were again convicted and sentenced to death. We consider the appeal of Patrick Poland.

PRETRIAL ISSUES

a. Change of Judge

The mandate in Poland I was filed in this Court and mailed to the Yavapai County Superior Court on 26 May 1982. On 8 June the county attorney moved to dismiss the case. The motion to dismiss was not heard until 21 June, at which time it was denied. On 19 July, special deputies were appointed to prosecute and defendant filed motions for change of judge pursuant to Rule 10.2, Arizona Rules of Criminal Procedure, 17 A.R.S., and to disqualify the judge for cause pursuant to Rule 10.1, Arizona Rules of Criminal Procedure, 17 A.R.S. These motions were heard and denied by another judge. The peremptory challenge motion was denied

because it was untimely, and the change of judge for cause motion was denied because bias or prejudice was not shown.

1. Peremptory Change of Judge

We first consider defendant's contention that the trial court committed reversible error in denying his peremptory motion for a change of judge. Our rule regarding change of judge upon request states:

a. Entitlement. In any criminal case in Superior Court, any party shall be entitled to request a change of judge.

* * *

c. Time for Filing. A notice of change of judge shall be filed, or informal request made, within 10 days after any of the following:

* * *

(2) Filing of the mandate from an Appellate Court with the clerk of the Superior Court;

Rule 10.2(a),(c)(2), Arizona Rules of Criminal Procedure, 17 A.R.S.

Our Poland I mandate was filed and mailed on 26 May 1982. The parties agree that defendant had 15 days, (10 days pursuant to Rule 10.2, supra, and 5 days for mailing pursuant to Rule 1.3, Arizona Rules of Criminal Procedure, 17 A.R.S.) to move to disqualify the judge without cause. The motion was not made until 19 July, some 54 days after the issuance of the mandate. This was too late and the motion was properly denied as untimely.

Defendant contends, however, that strict compliance with the rule should be waived because he relied upon the State's 8 June motion to dismiss and, therefore, did not believe that he would

go to trial. Had the motion to dismiss been granted, a motion for change of judge would have been unnecessary.

Admittedly, strict compliance with a rule like ours can be waived where the peremptory challenge is made diligently and as soon as practicable. *Smith v. State*, 616 P.2d 863, 865 (Alaska 1980) ("Insofar as each challenge was made almost immediately after the parties learned of the judicial assignment for trial, it cannot be said that their rights to challenge were waived through untimeliness."), *Riley v. State*, 608 P.2d 27 (Alaska 1980) (strict compliance was waived where counsel exercised the challenge promptly upon being appointed). In the instant case, however, defendant did not act diligently to protect his preremptory challenge rights. The motion to dismiss did not extend the time for filing the motion for change of judge. We find no reason to waive the time limits of the rule.

Furthermore, by participating in these hearings, defendant waived his peremptory challenge rights pursuant to Rule 10.4(a), Arizona Rules of Criminal Procedure, 17 A.R.S., which provides in pertinent part that "[a] party loses his right under Rule 10.2 to a change of judge when he participates before that judge in any contested matter in the case, [or] * * * any pretrial hearing * * *." In other words, if a party participates in a hearing which involves a contested issue of law or fact, the right to a peremptory challenge of the judge is waived. *Itasca State Bank v. Superior Court*, 8 Ariz.App. 279, 445 P.2d 555 (1968). The hearings in this case involved contested issues insofar as the parties disagreed on the important question of whether the

requested dismissal would be with or without prejudice. This case can then be distinguished from *City of Sierra Vista v. Cochise Enterprises, Inc.*, 128 Ariz. 467, 626 P.2d 1099 (App. 1979), in which it was held that a hearing on a stipulated, and therefore uncontested, motion to dismiss with prejudice did not result in a waiver.

b. Change of Judge for Cause

Defendant next maintains that he was denied a fair trial because the judge who sentenced him to death in *Poland I*, supra, presided over his retrial. He argues that his motion for change of judge for cause, therefore, should have been granted, or alternatively, that it was error for the trial judge not to have recused himself. We do not agree for two reasons.

First, the motion was not timely. Rule 10.1(b), Arizona Rules of Criminal Procedure, 17 A.R.S., states:

Within 10 days after discovery that grounds exist for change of judge, but not after commencement of a hearing or trial, a party may file a motion verified by affidavit of the moving party and alleging specifically the grounds for the change.

The ground for the change was the judge's participation in the prior trial. This was known at the time of remand. Admittedly, defendant may not have known the judge was to retry the case at that time. The defendant was aware, however, of the judge's participation by the time of the first hearing on the motion to dismiss on 21 June. Defendant's motion for change of judge filed 19 July came too late.

Second, even assuming the timeliness of the motion to

disqualify, its denial was still correct. Defendant relied upon State v. Vickers, which states:

- We have held that even though the judge had prior knowledge of defendant's past bad acts, he need not disqualify himself, so long as the facts are those which would ordinarily be found in a presentence report and the defendant knew the factual basis upon which the judge imposed the sentence. In a death penalty case, however, which is treated differently from non-death penalty cases, we believe that there is an appearance of impropriety when a judge who has sentenced the defendant to death in a prior case, also tries the same defendant for another potential death penalty offense. The judge should have recused himself from trying this defendant for the second murder.

138 Ariz. 450, 452, 675 P.2d 710, 712 (1983). (Citations omitted.) In Vickers, however, the judge had sentenced the same defendant to death in a prior but different murder case. Unlike the case before us, which involves the same crimes on retrial, Vickers involved death sentences for two distinct crimes. We did not believe that the judge in Vickers would be able to put aside the bias that he would have because of knowledge of the facts of the other crime. In the retrial of the same crime by the same judge, however, there is only the repetition of the same facts - the same facts that would be heard by any judge who tries the case. Under these circumstances, it can not be said that the prior trial prejudiced the judge the second time around. We find no error.

b. Refusal to Strike Jurors

Defendant argues that the court erred in refusing to strike two jurors for cause.

John Matthews testified on voir dire that he had heard and read about the case from T.V., radio, and newspapers. He answered the court's questions as follows:

BY THE COURT:

Q Do you remember any of the specifics of any of the accounts that you have seen on television or heard on or about radio?

* * *

A. Well, just that they were going to retry them, have a retrial.

Q. So you are aware this is a retrial?

A. Yes, right.

Q. Now going back to the earlier accounts that you had seen and as you followed through the case, in that period of time did you form any opinion of your own concerning the guilt or the innocence of the Defendants?

A I would say so.

* * *

Q Do you understand if you were picked as a juror in this case it would be necessary for you to decide this case only on the evidence and the testimony presented here in the courtroom?

A Yes.

Q And that you would have to put from your mind anything that you had seen or heard or read or knew about the case in any form whatsoever?

A Yes.

Q Do you understand that?

A Yes.

Q Do you feel you could do that?

A I probably could.

Q Do you feel you could fairly and impartially judge this case solely on what was presented to you here in this courtroom in this trial?

A Probably could.

Q And that you could, when you went to the jury room, if you were a member of the jury, not discuss anything that took place prior or permit anyone else to talk to you about anything that took place prior?

A Probably could.

Q You could do that?

A Probably.

In response to the prosecutor's question, the juror testified that he would be able to vote not guilty if the State failed in the burden of proof.

In response to the question of defendant's counsel:

Q Haven't you told the Judge that you previously formed an opinion that Michael and Patrick Poland were guilty based on what you had read and seen about the case?

* * *

A He was found guilty in the first case.

Q Right. And is the fact that they were found guilty in the first case, is that going to somehow influence your decision if you sit as a juror in this case?

A No.

Q You can totally wipe that out of your mind?

A Well, as far as I know.

* * *

Q Do you realize, Mr. Matthews, that anyone who is charged with a crime is presumed innocent by the law until proven guilty beyond a reasonable doubt?

A Yes, sir.

* * *

Q Let me ask you one more question: as you sit here today and you look at these Defendants, knowing what you know about the case, knowing about the prior proceedings, do you have any feeling in your mind that these men are guilty?

A No.

The other juror objected to by defendant, Cynthia Dea Benavidez, testified as follows:

BY THE COURT:

Q Mrs. Benavidez, you indicated you had seen or heard or read or know something about this case, is that right?

A Yeah, I have seen on T.V. news and stuff.

Q Okay. You have seen it on T.V.

* * *

A Yes.

Q And when would that have been, ma'am?

A Oh, I don't know the exact time. Just when the trials come up and, you know, what you see on T.V. news.

* * *

Q Okay. Do you realize if you were selected as a member of this jury you would have to decide guilt or innocence based only on what was presented here in this courtroom?

A Yes, that's what I know.

Q And do you think you could do that?

A No.

Q You don't think you could put all the things you have seen out of your mind and

decide this case only on the evidence and testimony presented here in the courtroom?

A Well, maybe I could, because I really haven't followed that close, but I just --

Q I know it's a tough question.

A But just from what I know I thought they were guilty.

* * *

Q I know this is tough. We have to look into your mind.

A I think I have already formed an opinion, but I -- I don't know that much about Court and stuff, you know.

Q Well, in a Court you would have an opening statement presented by both sides in the action, you would have witnesses who would be placed under oath and take the stand and sit where you are sitting, they would be asked questions. After all the evidence and testimony had been presented, then the lawyers would argue the case and the evidence as they saw it, and then I would instruct you on the law that governs this case and it would be your duty to follow that law, and then and only then would you go into the jury room with the other jurors and decide the case. Do you think you could do that or do you think you could not?

A I think I could.

The prosecutor and attorneys for defendant also questioned Cynthia Dea Benavidez as follows:

BY THE PROSECUTOR

Q Would you be able to fairly and impartially judge the case so that at the end of the case if the State had proved the Defendants guilty beyond a reasonable doubt you could find them guilty, and if the State has failed in its burden you would find them not guilty? Could you do that?

A Sure, if I sit and listen to it all I'm sure my mind could still be open.

Q Okay. Could you -- do you think you would have the ability, and I am sure having watched television, that occasionally people -- memories will come back, programs you saw something on television that a witness is talking about now. Would you be able to set aside that which you saw on television and judge each witness and their performance and their testimony and their evidence and base your decision only on that evidence and nothing else?

A Yes, I could, because I don't really remember that much about it.

* * *

BY DEFENDANT'S ATTORNEY

Q All right. And you do understand that Michael and Patrick Poland have the right to a fair trial?

A Yes I understand. I know the system. I'm thankful for that.

Q Right. And that if the State hadn't proved its burden, then all that you had heard, all that you had read, could not be used to otherwise convict them. Do you understand that?

A Yes.

* * *

Q If you were charged with murder, ma'am, would you feel comfortable having someone with your frame of mind and knowing what you know sitting on the jury and judge you?

A No.

Q You think what you know is going to influence, even subconsciously, your verdict in this case?

A I don't -- well, like -- um -- if I had to sit and listen to everything, you know, then make an opinion, it might be different.

Q But right now if you were being tried for murder you wouldn't want someone with your frame of mind judging you?

A Well not from what I have already saw.

Q That's what I mean.

A No.

* * *

BY THE COURT:

Q The bottom line, Mrs. Benavidez, has to be whether or not you feel if you were on the jury you could judge this case solely on the evidence and testimony presented here in the courtroom and on that basis render a verdict?

A I think I could do that.

We have held that because a juror has preconceived notions or opinions does not necessarily render him incompetent to fairly and impartially decide a case. *State v. Clabourne*, ____ Ariz. ____, 690 P.2d 54, 63 (1984); *State v. Tison*, 129 Ariz. 526, 533, 633 P.2d 335, 342 (1981), cert denied, 459 U.S. 882, 103 S.Ct. 180, 74 L.Ed.2d 147 (1982). If a juror is willing to put aside his opinions and base his decision solely upon the evidence, he may serve. *See Clabourne*, supra; *State v. Greenawalt*, 128 Ariz. 388, 394, 626 P.2d 118, 124, cert. denied, 454 U.S. 848, 102 S.Ct. 167, 70 L.Ed.2d 136 (1981). The voir dire may be used for the purpose of rehabilitating a juror by convincing him of his responsibility to sit impartially. *Clabourne*, supra; *State v. Clayton*, 109 Ariz. 587, 593, 514 P.2d 720, 727 (1973).

We will not set aside a ruling upon a challenge to a juror absent a clear showing that the trial court abused its discretion. *State v. Montano*, 136 Ariz. 605, 607, 667 P.2d 1320, 1322 (1983). Because the record shows the contested jurors were

adequately rehabilitated through the voir dire, the trial court did not abuse its discretion in failing to strike them. We find no error.

c. Expert Eyewitness Identification Testimony

Prior to trial, the State moved to suppress expert testimony regarding eyewitness identification. The trial court granted the motion. Defendant argues that the trial court abused its discretion in not allowing the presentation of expert testimony on eyewitness identification. We do not agree.

The test for preclusion of expert testimony "is whether the subject of inquiry is one of such common knowledge that people of ordinary education could reach a conclusion as intelligently as the witness * * *." State v. Owens, 112 Ariz. 223, 227, 540 P.2d 695, 699 (1975). Expert testimony on eyewitness identification is usually precluded because it invades the province of the jury to determine what weight or effect it wishes to give to eyewitness testimony. It is usually not a proper subject for expert testimony.

We have, however, previously sanctioned the use of expert testimony on eyewitness identification:

The admissibility of expert testimony is governed by Rule 702, Ariz.R. of Evid. That rule states:

If scientific, technical, or other specialized knowledge will assist the trier of fact to understand the evidence or to determine a fact issue, a witness qualified as an expert by knowledge, skill, experience, training, or education, may testify thereto in the form of an opinion or otherwise.

In what is probably the leading case on the subject, the Ninth Circuit affirmed the

trial court's preclusion of expert evidence on eyewitness identification in *United States v. Amaral*, 488 F.2d 1148 (9th Cir. 1973). In its analysis, however, the court set out four criteria which should be applied in order to determine the admissibility of such testimony. These are: (1) qualified expert; (2) proper subject; (3) conformity to a generally accepted explanatory theory; and (4) probative value compared to prejudicial effect. *Id.* at 1153. We approve this test and find that the case at bar meets these criteria.

We recognize that the cases that have considered the subject have uniformly affirmed trial court rulings denying admission of this type of testimony. However, a careful reading of these cases reveals that many of them contain fact situations which fail to meet the Amaral criteria or are decided on legal principles which differ from those we follow in Arizona.

State v. Chapple, 135 Ariz. 281, 291, 660 P.2d 1208 (1983). Our holding in *Chapple* was limited to the peculiar facts of that case. As we noted, "[n]o direct or circumstantial evidence of any kind connect[ed] defendant to the crime, other than the testimony of [the eyewitnesses] * * *." *Id.* at 285, 660 P.2d at 1212 (footnote omitted). We specifically stated, however, that "The rule in Arizona will continue to be that in the usual case we will support the trial court's discretionary ruling on admissibility of expert testimony on eyewitness identification." *Id.* at 297, 660 P.2d at 1224. See also *People v. McDonald*, 208 Cal.Rptr. 236, 690 P.2d 709 (1984) (adopting the rule of limited usage outlined in *Chapple*); Note, Expert Testimony on Eyewitness Identification: Invading the Province of the Jury?, 26 Ariz. L.Rev. 399 (1984) (cautioning against the widespread use of such testimony). Under the facts of this case, the trial court did

not abuse its discretion in refusing to allow the introduction of expert testimony on eyewitness identification. The peculiar facts of Chapple were not present in the instant case. The question of guilt did not hinge solely on the testimony of eyewitnesses. There was nothing that the witness would testify to that was not within the common experience of the jurors. State v. Owens, supra, at 227, 540 P.2d at 699. The probative value of the testimony did not overcome the prejudicial effect. Chapple, supra. We find no error.

d. Suppression of Material Evidence

During the investigation of the crimes, an FBI agent learned that the home Michael Poland had been renting was for sale. Posing as a buyer, the agent went through the house and later testified as to what he saw. Defendant claims this was an illegal entry. Defendant also questions the sufficiency of an affidavit in support of a search warrant.

We considered the same issues based upon the same facts in the prior case, Poland I, at 277-78, 645 P.2d at 792-93. We found no error then and we find no error now.

TRIAL ISSUES

a. Prior Conviction

Defendant contends that the trial court abused its discretion by allowing defendant to be impeached with a prior felony conviction for bank robbery.

Our Rules of Evidence state in pertinent part:

For the purpose of attacking the credibility of a witness, evidence that he has been convicted of a crime shall be admitted if elicited from him or established by public

record, if the court determines that the probative value of admitting this evidence outweighs its prejudicial effect, and if the crime (1) was punishable by death or imprisonment in excess of one year under the law under which he was convicted or (2) involved dishonesty or false statement, regardless of the punishment.

Rule 609(a), Arizona Rules of Evidence, 17A A.R.S. Defendant does not assert that his prior conviction is not governed by this rule or that it was too remote in time to be used. Rather, he claims that the trial court did not make the requisite finding that the probative value of using the prior conviction for impeachment purposes outweighed any prejudicial effect.

In making the motion to preclude the use of the prior conviction, defendant's attorney stated:

Our motion is based on Rule 609 of the Arizona Rules of Evidence. The primary thrust of our motion is that the potential for prejudice in introducing this prior conviction will outweigh any probative value it might have for impeachment purposes. The main fear that I have is that the jury will utilize this conviction as substantive evidence of guilt rather than utilizing it for the limited purpose of deciding the truthfulness or non-truthfulness of any testimony that the witness offers. (Emphasis ours.)

After argument on the motion, the court took the matter under advisement and then ruled as follows:

The rulings I'm prepared to make are that the Defendants' motion to preclude the use of the prior conviction is denied.

I have spent a good deal of time reviewing this motion and the arguments and the opposition to it. I believe that, under the rules, that the use of that prior conviction can be used to impeach the Defendant if the Defendant elects to testify.

We agree that the preferred method for complying with Rule 609 is a specific on-the-record finding that the probative value of using a prior conviction for impeachment outweighs the danger of unfair prejudice. *State v. Hunter*, 137 Ariz. 234, 237, 669 P.2d 1011, 1014 (App. 1983); *State v. Dixon*, 127 Ariz. 554, 558, 622 P.2d 501, 505 (App. 1980). Where, however, it is clear from a reading of the record that the probative value has been balanced against the prejudice, a specific finding need not be made. See *State v. Ellerson*, 125 Ariz. 249, 252, 609 P.2d 64, 67 (1980). It appears that the trial judge in the instant case did balance the probative value against the potential prejudicial effect. The decision whether to admit evidence of the prior conviction for impeachment purposes was within the sound discretion of the trial court. *State v. McFlyea*, 130 Ariz. 185, 188, 635 P.2d 170, 173 (1981). We find no abuse of that discretion. Id.

Neither do we believe that the trial judge ruled incorrectly. Because defendant relied upon an alibi defense, impeachment evidence was vitally important to the State. The significance of such evidence in similar situations has been recognized. See *State v. Gillies*, 135 Ariz. 500, 507, 662 P.2d 1007, 1014 (1983). We find no error.

b. Hypnotized Witness

Stanley Sekulski, the tow truck operator who pulled the truck out of the sand at Bonelli Landing, was a potential witness against the defendant. He had been hypnotized prior to trial.

For other reasons, he was found incompetent to testify. Instead the testimony he gave at defendant's first trial was read to the jury. This testimony was first edited, however, to reflect solely the recall he had prior to his being hypnotized during the investigative phase of the case. This was done by using the pre-hypnotic statements made to the police and the FBI. The cross-examination was, however, read in its entirety. Defendant maintains, nevertheless, that this procedure deprived him of the right to confront and cross-examine a witness against him, U.S. Const.- amend. VI; amend. XIV. We do not agree.

First, we note that the use of former testimony is a recognized exception to the rule against hearsay whenever a witness is declared incompetent to testify or is otherwise unavailable. Rule 804(b)(1), Arizona Rules of Evidence, 17A A.R.S. In the instant case, it was agreed that the witness was in fact incompetent to testify.

Second, although a witness is rendered incompetent to testify as to the recall induced through hypnosis, he may testify to facts demonstrably recalled prior to hypnosis:

We further minimize the risk [of using the testimony of a hypnotized witness] by requiring that before hypnotizing a potential witness for investigatory purposes, the party intending to offer the prehypnotic recall appropriately record in written, tape recorded or, preferably, videotaped form the substance of the witness' knowledge and recollection about the evidence in question so that the prehypnotic recall may be established. Such recordation must be preserved so that at trial the testimony of that witness can be limited to the prehypnotic recall. If such steps are not taken, admission of the prehypnotic recall will be error, which, if prejudicial, will require reversal.

State ex rel. Collins v. Superior Court, 132 Ariz. 180, 210, 644 P.2d 1266, 1296 (1982). In the instant case, the trial court ruled that FBI 302 reports and Las Vegas Police Department reports met the recordation requirement. Such reports are regularly used to summarize witness interviews, and in this case, they were used to edit Sekulski's former testimony to reflect only his prehypnotic recall.

We imposed the requirement of a prehypnotic record to mitigate the danger of subsequent hypnosis contaminating testimony of facts recalled prior to hypnosis. Id. Although we continue to adhere to the view expressed in Collins that videotaping is the preferred method for preserving prehypnotic recall, in the instant case, the FBI and police reports adequately enabled the parties to segregate the prehypnotic recall from post hypnotic testimony. From these reports, prepared prior to any hypnotic sessions, the transcript was edited to reflect only Sekulski's prehypnotic recall. The attendant risks were further minimized through the reading of Sekulski's cross-examination in its entirety. Id. Furthermore, had defendant elected, he could have introduced expert testimony to show that Sekulski's prehypnotic recall was tainted by his subsequent hypnosis. Id. Under these facts, the risks inherent in using the testimony of the previously hypnotized witness were minimized in accordance with our decision in Collins. We find no error.

c. Gruesome Photographs

Defendant contends that the trial court abused its discretion in admitting two gruesome photographs into evidence. We will consider only one photograph, however, as we do not believe that the photograph of the fully clothed body of one of the victims lying face down near the area where it surfaced was gruesome.

The court found the second photograph to be gruesome and we agree. The photograph was a closeup of the torso and decomposed head of one of the victims. It shows him clad in his employer's uniform and a wristwatch. The photograph was, however, admitted because the court ruled that its probative value outweighed its prejudicial effect. Even though it was gruesome, a photograph may be admitted provided it has probative value apart from merely illustrating the atrociousness of the crime. *State v. Perea*, ___ Ariz. ___, 690 P.2d 71, 76 (1984). This is true notwithstanding the fact that neither the identity of the victim nor the manner of death are disputed. *Id.*

In the instant case, one of the victim's co-workers used the contested photograph to identify the victim by the type of uniform he was wearing. The medical examiner who performed the autopsies upon the victims testified that the photograph illustrated the difficulty he had in determining a cause of death because of decomposition. Furthermore, the photograph shows the victim with his watch on. Investigators hypothesized the time of death of the victims in reference to the time this watch stopped.

We do not believe the gruesomeness of the photograph outweighed its probative value. *State v. McCall*, 139 Ariz. 147,

157, 677 P.2d 920, 930 (1983); Rule 403, Arizona Rules of Evidence, 17A A.R.S. We find no error.

d. Admission of Taser Gun Receipt and Gun Box

In Poland I, *supra*, we held that a taser gun was improperly admitted into evidence because it was never connected to the crime. We stated, however, that the receipt for that weapon's purchase was properly seized and admitted at trial. *Id.* at 281, 645 P.2d at 796. We explained the receipt's relevance as follows: "[t]he taser gun receipt * * * indicated that it [the gun] had been purchased by an alias or accomplice, suggesting that it may have been purchased in contemplation of the crime or by another involved in the crime." *Id.* at 280, 645 P.2d at 795. We hold that evidence showing the use of such an alias was relevant and the receipt was properly admitted.

As to the empty taser gun box, we are unable to discern its relevance. Neither do we find its admission prejudicial. *See* State v. Montes, 136 Ariz. 491, 497, 667 P.2d 191, 197 (1983). We find no error.

e. Mistrial

Defendant contends that the trial court erred in failing to grant his motion for a mistrial after the State adduced a previously undisclosed statement at trial.

Testimony was elicited at trial from prosecution witnesses that three men purchased the lightbar alleged to have been used in the commission of the crime. Because the State felt that the description of one of these men matched defendant's brother, Thad Scott Poland, he was interviewed on the evening prior to his

scheduled testimony. Allegedly, he told investigators that defendant Patrick Poland revealed to him that he had purchased the lightbar. Without disclosing to defendant the nature of this witness's statements, the State presented the evidence at trial. Defendant did not object until after the witness had left the stand.

Rule 15.1(a)(1), Arizona Rules of Criminal Procedure, 17 A.R.S., provides that the State must make available to defendants relevant written or recorded statements of witnesses against them if it has such information within its control. Rule 15.6 reads:

If at any time after a disclosure has been made any party discovers additional information or material which would be subject to disclosure had it then been known, such party shall promptly notify all other parties of the existence of such additional material, and make an appropriate disclosure.

We find no error for two reasons.

First, the defendant failed to object until after the witness left the stand. It was not an abuse of discretion to fail to impose sanctions under such circumstances. See State v. Gambrell, 116 Ariz. 188, 190, 568 P.2d 1086, 1088 (App. 1977).

Second, there was no prejudice to defendant by the alleged failure to disclose. It came as no surprise that defendant's brother would testify and there was opportunity to interrogate him regarding his proposed testimony. Furthermore, the witness discredited himself on the stand stating, "[w]ell, he [Patrick] never really said he bought the lightbar. That was my making that up basically. * * * Pat never said specifically that he'd

ever bought a lighthar. That was me saying that." Any prejudice resulting from nondisclosure was further rectified during cross-examination. Under these circumstances, the error, if any, was non-prejudicial. See State v. Jessen, 130 Ariz. 1, 4, 633 P.2d 410, 414 (1981) (trial court did not abuse its discretion in failing to impose sanctions where no prejudice resulted from nondisclosure).

f. Definition of Intent

The court instructed the jury as follows:

All persons concerned in the commission of a crime, whether they directly commit the act constituting the offense or aid and abet in its commission are principals in any crime so committed.

The defendants have produced evidence that they were not present at the time and place the alleged crime was committed. If you have a reasonable doubt whether the defendants were present at the time and place the alleged crime was committed you must find the defendants not guilty.

Defendants cite us to the language of the statute defining aiding and abetting, A.P.S. § 13-301, which provides in pertinent part:

"accomplice" means a person, * * *, who with the intent to promote or facilitate the commission of an offense:

* * *

2. Aids, counsels, agrees to aid or attempts to aid another person in planning or committing the offense.

(Emphasis added). They contend that the omission of the phrase "with the intent to" from the instruction given was error. We do not agree.

Lack of a particular instruction is not fatal where the instructions, read as a whole, adequately set forth the law. State v. Villafuerte, supra at ___, 690 P.2d at 48; State v. Axley, 132 Ariz. 383, 392, 646 P.2d 268, 277 (1982); State v. Rhymes, 129 Ariz. 56, 59, 638 P.2d 939, 942 (1981).

In the instant case, the jury was also instructed:

The State must prove that the Defendants have done an act which is forbidden by law and that they intended to do it. You may determine that the Defendants intended to do the act if they did it voluntarily.

* * *

A murder which is perpetrated by any kind of willful, deliberate and premeditated killing is murder of the first degree. All other kinds of murder are of the second degree. If you have a reasonable doubt about which of the two degrees of murder was committed, you must decide it was second degree murder.

* * *

Malice aforethought may be express or implied. It is express when there is manifested a deliberate intention unlawfully to take away the life of a fellow creature. It is implied when no considerable provocation appears or when the circumstances attending the killing show an abandon or malignant heart.

(Emphasis added).

The instruction, even though not mentioning the requisite element of intent, was sufficient when read in conjunction with an instruction that the defendant could not be found guilty in the absence of intent. State v. George, 95 Ariz. 366, 371, 390 P.2d 899, 904 (1964) (although element of "intent" omitted from instruction on aiding and abetting, no reversible error found

where instructions, read as a whole, indicated that guilt could not be found absent the requisite intent). We believe that George is dispositive. We find no error.

DEATH PENALTY ISSUES

a. The Death Penalty Statute

Defendant contends that our death penalty statute, A.R.S. § 13-703, is unconstitutional. We have previously disposed of this question. *State v. Zaragoza*, 135 Ariz. 63, 68, 659 P.2d 22, 27, cert. denied, ___ U.S. ___, 103 S.Ct. 3097, 77 L.Ed.2d 1356 (1983); *State v. Clark*, 126 Ariz. 428, 435, 616 P.2d 888, 895, cert. denied, 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612 (1980). Furthermore, our sentencing scheme for capital cases is neither rendered unconstitutional because of its lack of jury participation, *State v. Roscoe*, ___ Ariz. ___, ___ P.2d ___ [No. 5831, filed 28 December 1984, slip op. at 24-25], nor because of its failure to require beyond a reasonable doubt that aggravating circumstances outweigh mitigating circumstances. *State v. Carriger*, ___ Ariz. ___, ___ P.2d ___ [No. 4457-3, filed 6 December 1984, slip op. at 35].

Additionally, we believe the death penalty was properly applied to the facts of this case. The record provides substantial support for the conclusion that defendant killed, attempted to kill, or intended to kill. See *Enmund v. Florida*, 458 U.S. 782, 102 S.Ct. 3368, 73 L.Ed.2d 1140 (1982); *State v. Vickers*, 138 Ariz. 450, 452, 675 P.2d 710, 712 (1983). We find no error.

b. Double Jeopardy

Defendant contends that the double jeopardy provisions of the United States and Arizona Constitutions barred reimposition of the death penalty in this case. We do not agree.

The Double Jeopardy Clause of the Fifth Amendment to the United States Constitution provides in pertinent part, "nor shall any person be subject for the same offense to be twice put in jeopardy of life or limb * * *." Our state constitution contains a similar provision. Ariz. Const. Art. II, §10. The United States Supreme Court has held that double jeopardy consequences attach to a sentencing proceeding whenever it resembles a trial. *Bullington v. Missouri*, 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (1980). The Court later stated, "respondent's initial sentence of life imprisonment was undoubtedly an acquittal on the merits of the central issue in the proceeding -- whether death was the appropriate punishment for respondent's offense." *Arizona v. Rumsey*, ___ U.S. ___, ___, 104 S.Ct. 2305, 2310, ___ L.Ed.2d ___, ___ (1984).

Defendant contends that *Bullington* and *Rumsey* bar reimposition of the death penalty in the instant case. We do not agree. In those cases, the respective defendants were sentenced to terms of imprisonment. Upon remand, each was sentenced to death. The United States Supreme Court held that the Double Jeopardy Clause barred imposition of the death penalty in those cases. These holdings were based upon the fact that the respective state sentencing procedures resembled trials. Accordingly, because each defendant was initially sentenced to a

term of imprisonment, he was impliedly "acquitted" of the death penalty.

In the instant case, defendant was sentenced to death at the end of his first trial. There was no implied "acquittal" of the death penalty. Bullington and Rumsey do not, therefore, apply. See Knapp v. Cardwell, 667 F.2d 1253, 1264-65 (9th Cir.), cert. denied, ____ U.S. ____, 103 S.Ct. 473, 74 L.Ed.2d 621 (1982).

Defendant argues, however, that he was impliedly "acquitted" of the death penalty at the appellate level because Poland I, supra, overturned the single aggravating circumstance upon which his previous death sentence was based, that is that the murders were committed in an especially heinous, cruel or depraved manner, A.R.S. § 13-703(F)(6). Our holding in Poland I, however, was simply that the death penalty could not be based solely upon this aggravating circumstance because there was insufficient evidence to support it. This holding was not tantamount to a death penalty "acquittal."

Because we find below that the "heinous, cruel or depraved" aggravating circumstance was again not adequately proven, we need not reach the question of whether double jeopardy precluded the sentencing court from refinding this aggravating circumstance.

c. Proof of Aggravating Circumstances

The trial court found as aggravating circumstances:

1. That defendant committed the crime in an "especially heinous, cruel or depraved manner." A.R.S. § 13-703(F)(6).

2. That the crime was committed "as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value." A.R.S. § 13-703(F)(5).

3. That defendant had been "previously convicted of a felony in the United States involving the use or threat of violence on another person." A.R.S. § 13-703(F)(2).

This court will, in all death cases, make an independent review of the facts to determine for itself the aggravating and mitigating factors. State v. Smith, 138 Ariz. 79, 85, 673 P.2d 17, 23 (1983), cert. denied, ___ U.S. ___, 104 S.Ct. 1429, ___ L.Ed.2d ___ (1984); State v. Richmond, 136 Ariz. 312, 317, 666 P.2d 57, 62, cert. denied, ___ U.S. ___, 104 S.Ct. 435, ___ L.Ed.2d ___ (1983).

Defendant contends that the sentencing court erred in its findings that the murders in this case were "especially heinous, cruel or depraved." A.R.S. § 13-703(F)(6). We agree.

In Poland I, supra at 285, 645 P.2d at 800, we set aside the finding of this aggravating circumstance (then contained in former A.P.S. § 13-454(E)(6), for the following reasons:

In interpreting the aggravating circumstance that the offense was committed in an especially heinous, cruel, or depraved manner, we have stated:

" * * * the cruelty referred to in the statute involved the pain and the mental and physical distress visited upon the victims. Heinous and depraved as used in the same statute meant the mental state and attitude of the perpetrator as reflected in his words and actions." State v. Clark, 126 Ariz. 428, 436, 616 P.2d 888, 896 (1980), cert. denied 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612.

We do not believe that the evidence so far produced in this case shows that the murders were cruel. We have interpreted "cruel" as "disposed to inflict pain esp. in a wanton, insensate or vindictive manner: sadistic." State v. Lujan, 124 Ariz. 365, 372, 604 P.2d

629, 636 (1979), quoting Webster's Third New International Dictionary. There was no evidence of suffering by the guards. The autopsy revealed no evidence that they had been bound or injured prior to being placed in the water, and there was no sign of a struggle. Cruelty has not been shown beyond a reasonable doubt. State v. Lujan, supra; State v. Ortiz, 131 Ariz. 195, 639 P.2d 1020 (1981); State v. Bishop, 127 Ariz. 531, 622 P.2d 478 (1980); State v. Knapp, 114 Ariz. 531, 562 P.2d 704 (1977), cert. denied, 435 U.S. 908, 98 S.Ct. 1458, 55 L.Ed.2d 500 (1978).

Neither does the evidence support a finding that the murders were heinous or depraved. These terms were defined in State v. Lujan, supra:

"heinous: hatefully or shockingly evil;
grossly bad

* * * * *

"depraved: marked by debasement,
corruption, perversion or deterioration."
124 Ariz. at 372, 604 P.2d at 636.

The issue focuses on the state of mind of the killer. State v. Lujan, supra. The difficulty in making this determination in the case at bar is that there is very little evidence in the record of the exact circumstances of the guards' deaths. Although defendants' state of mind may be inferred from their behavior at or near the time of the offense, State v. Lujan, supra, we know nothing of the circumstances under which the guards were held hostage.

The State must prove the existence of aggravating circumstances beyond a reasonable doubt. State v. Jordan, 126 Ariz. 283, 614 P.2d 825, cert. denied, 449 U.S. 986, 101 S.Ct. 408, 66 L.Ed.2d 251 (1980). We do not believe it has been shown beyond a reasonable doubt that the murders were committed in an "especially heinous, cruel or depraved manner."

At retrial, the State again failed to show what we found lacking in Poland I: suffering by the victims and the circumstances surrounding their deaths. The State did not show the victims were conscious at the time of death. A finding of cruelty cannot stand where the State has failed to prove beyond a reasonable doubt that the victims were conscious at the time of death. State v. Villafuerte, ____ Ariz. ____, 690 P.2d 42, 50 (1984). We are, therefore, compelled to again set aside the finding that the murders were committed in an "especially heinous, cruel or depraved manner."

The State has, however, proven beyond a reasonable doubt that defendant "committed the offense as consideration for the receipt, or in the expectation of the receipt, of anything of pecuniary value." A.R.S. § 13-703(F)(5). This circumstance is applied to murders having a "financial motivation." State v. Villafuerte, supra at ____, 690 P.2d at 47; State v. Graham, 135 Ariz. 209, 212, 660 P.2d 460, 463 (1983); State v. Clark, 126 Ariz. 428, 436, 616 P.2d 888, 896, cert. denied, 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612 (1980). In the instant case, the murders were part of an overall scheme to obtain items of pecuniary value. State v. Nash, ____ Ariz. ____, ____ P.2d ____ [No. 5987, filed 9 January 1985, slip op. at 32]. Under the facts of this case, the "pecuniary gain" finding was clearly warranted.

Defendant maintains, however, that the sentencing court incorrectly found the aggravating circumstance contained in A.R.S. § 13-703(F)(2): that he "was previously convicted of a

felony in the United States involving the use or threat of violence on another person." He argues that this factor should not have been found absent an examination of whether violence played a role in his prior conviction for bank robbery. This argument was most recently raised and rejected in *State v. Nash*, slip. op. at 29, where we held that judicial notice may be taken that certain felonies, by definition, involve violence against others. See also *State v. Watson*, 120 Ariz. 441, 448, 586 P.2d 1253, 1260 (1978), cert. denied, 440 U.S. 924, 99 S.Ct. 1254, 59 L.Ed.2d 478 (1979) ("Fear of force is an element of robbery and the conviction of robbery presumes that such fear was present.") Furthermore, defendant's claim that Double Jeopardy principles bar the use of his prior conviction to enhance sentencing is without merit. *State v. LeMaster*, 137 Ariz. 159, 166, 669 P.2d 592, 599 (App. 1983).

d. Mitigating Circumstances

The trial court found as mitigating circumstances the defendant's close family ties, and that he was a model prisoner. The trial court found that these mitigating circumstances were not "sufficiently substantial to call for leniency." A.R.S. § 13-703(E).

Defendant raises two arguments relating to mitigating circumstances. First, he argues that the sentencing court's failure to find good reputation as a mitigating circumstance was error. We do not agree.

Defendant points to numerous letters written by family members and acquaintances attesting to his good reputation. The

sentencing court, however, found this evidence was contradicted by defendant's prior conviction. The court reasoned that defendant's reputation was not a mitigating factor because it was falsely built.

Defendants have the burden of proving mitigating factors by a preponderance of the evidence. State v. McMurtrey, ____ Ariz. ____, ____ P.2d ____ [No. 5709-2, filed 11 December 1984, slip op. at 3-4]. The sentencing court and this Court on appeal may take cognizance of evidence tending to refute a mitigating circumstance. State v. Smith, 131 Ariz. 29, 638 P.2d 696 (1981).

In light of conflicting evidence as to defendant's reputation, we do not believe that the defendant has shown by a preponderance of the evidence defendant's good reputation as a mitigating circumstance.

Second, defendant also claims error to the sentencing court's discussion of close family ties as a mitigating circumstance:

The Court does find the close family ties of the -- that exist between the Defendants' families and their children as a mitigating circumstance. I don't want this to be misconstrued as an opinion of this Court that this in fact made them good husbands and fathers. On the contrary, the exact opposite would be true. It would be impossible to conceive of good husbands and fathers committing crimes of this nature, and thereby bearing the aura of being a good family man. I suspect the only possible self-justification that may be available to you both is that you somehow did this for your children and families, but of course quite the opposite is the result, and you have in fact destroyed your families, and I suspect that the best thing that you could do at this point would be to admit to them that you have committed these offenses, let them face up to it, let them try to prepare their lives in a manner that will

permit them to exist in the future, otherwise you have destroyed them forever.

Defendant contends that the court was using a mitigating factor as an aggravating factor contrary to State v. Just, 138 Ariz. 534, 675 P.2d 1353 (App. 1983) (where the sentencing court incorrectly used the defendant's prior exemplary life as an aggravating factor). We do not believe, however, that the court used defendant's close family ties in this manner. Rather, it appears that the court found this to be a mitigating factor but not "sufficiently substantial to call for leniency." State v. Gretzler, 135 Ariz. 42, 54, 659 P.2d 1, 13, cert. denied, ____ U.S. ____, 103 S.Ct. 2444, 77 L.Ed.2d 1327 (1983). We find no error.

We further find that neither defendant's age, twenty-seven at the time of the offenses, State v. Clark, supra; nor the fact that he was a model prisoner, State v. Carriger, ____ Ariz. ____, ____ P.2d ____ [No. 4457-3, filed 6 December 1984, slip op. at 40-42], are mitigating factors sufficiently substantial to call for leniency. We believe the death penalty should be imposed in this case.

e. Proportionality

We conduct a proportionality review as part of our independent review to determine "whether the sentences of death are excessive or disproportionate to the penalty imposed in similar cases, considering both the crime and the defendant." State v. Villafuerte, supra at ____, 690 P.2d at 51, State v. Richmond, 114 Ariz. 186, 196, 560 P.2d 41, 51 (1976).

Our review indicates that defendant's sentence is proportionate to sentences imposed by this state upon other defendants who have committed murders having a similar degree of aggravation. We have upheld the imposition of the death sentence in numerous cases involving two or more aggravating factors and no mitigating factors sufficiently substantial to call for leniency. E.g., State v. Carriger, supra; State v. Fisher, ___ Ariz. ___, 686 P.2d 750 (1984); State v. Blazak, 131 Ariz. 598, 643 P.2d 694 (1982). We have also upheld the death penalty where as here the crime is for the sole purpose of economic gain, State v. Hensley, ___ Ariz. ___, ___ P.2d ___ [No. 5556-2, filed 28 November 1984].

The fact that defendant had a prior conviction involving the use or threat of violence and that the offense was for pecuniary gain together with insufficient mitigating circumstances brings this court to the conclusion that the crime is above the norm of first degree murders and that the defendant is above the norm of first degree murderers.

We have reviewed the entire record pursuant to A.R.S. § 13-4035 and have found no reversible error. The finding that the murders were committed in an "especially heinous, cruel or depraved manner" is set aside, but the findings as to the other aggravating circumstances are affirmed. No mitigating circumstances sufficiently substantial to call for leniency have been shown.

The judgments and sentences are affirmed.

CONCURRING:

JAMES DUFE CAMERON, Justice

WILLIAM A. HOLOHAN, Chief Justice

JACK D. H. HAYS, Justice

GORDON, Vice Chief Justice

(Concurring in Part, Dissenting in Part):

Regarding the disposition of defendant's peremptory change of judge claim, I concur in the result for different reasons than stated by the majority. I, however, dissent from affirming reimposition of the death sentence in this case.

We filed our mandate in Poland I on May 26, 1982. In the days immediately following this mandate the Yavapai County Attorney's office avowed to defendant's attorney that it would not retry the case. The County Attorney also made statements to the press expressing the same intentions. Defendant's attorney relied upon these private and public representations.

On June 8, 1982 the Yavapai County Attorney moved to dismiss the charges against defendant. On June 21, 1982, the trial court held a hearing on the prosecutor's motion where the prosecutor stated he was renewing his motion to dismiss. He argued that the state had lost contact with certain witnesses, others had died, still others were reluctant to testify, and that both defendants

were serving 99 and 114 year sentences in federal prison for convictions arising from the same facts. He also questioned the admissibility of the testimony of a previously hypnotized witness. The prosecutor also noted that the FBI agent in charge of the case agreed that chances for successful prosecution were "extremely poor." Both defense attorneys joined the prosecutor's motion and asked the Court to give due consideration to a dismissal with prejudice under the state of the evidence.

Unlike the majority I believe that until the June 21st hearing, defense counsel had no need to file a peremptory change of judge notice. The County Attorney never gave any indication that he would prosecute defendant. To the contrary, he insisted he would not, and defendant's counsel had every right to rely upon these assurances. Further, defense counsel had no way of knowing that the trial judge would deny the motion to dismiss. Defense counsel could reasonably conclude, in fact, that moving for a change of judge would be futile or even antagonistic in view of the appearance that the case would not again go to trial. I believe the majority's construction of Rule 10.2, Ariz. R. Crim. P., 17 A.R.S., is too harsh because it would require defense lawyers to file notice of peremptory change of judge even

when a trial seems improbable.

In addition, I disagree that by participating in the state's motion to dismiss defendant waived his right to peremptorily challenge the judge. The majority claims this hearing involved a contested matter of law or fact in that the state wanted a dismissal without prejudice while defendant suggested a dismissal with prejudice. By participating in a contested matter in front of the trial judge, defendant would waive his right to peremptorily challenge the judge. Rule 10.4(a), Ariz. R. Crim. P., 17 A.R.S.

The majority has taken a strained view of the record. My reading of the record reveals that the defendant had no objection to the state's motion to dismiss but asked the judge to consider dismissing the case with prejudice. The judge denied the motion to dismiss, and the question of whether the motion was to be with or without prejudice was never discussed or contested in any way at the hearing. A simple request by defense counsel for the judge to consider a dismissal with prejudice hardly constitutes a real contest of any legal issue.

I agree with the result reached by the majority, however, because defense counsel failed timely to file a peremptory

challenge of the judge after the judge denied the state's motion to dismiss. Once defense counsel became aware that the trial judge wanted a trial, he could no longer reasonably rely upon the prosecutor's promise that he would dismiss the case. See Rule 16.5, Ariz. R. Crim. P., 17 A.R.S.; State v. Johnson, 122 Ariz. 260, 594 P.2d 514 (1979) (prosecutor does not have sole discretion to decide whether to dismiss; the Superior Court on good cause shown may order that a prosecution be dismissed). As defense counsel failed to file a peremptory notice of a change of judge within 10 days after the June 21st hearing, the motion was not timely.

I dissent from reimposition of the death penalty. In Poland I this Court reversed defendant's death penalty "conviction" for lack of sufficient evidence. The United States Supreme Court has held that such an appellate reversal is the same as a factfinder's acquittal of the defendant. A "death penalty acquittal" is final for double jeopardy purposes, and the death sentence issue should not be retried, even after an entirely new trial on the guilt or innocence issue. See authorities cited infra.

The double jeopardy rule forbids retrial of a defendant who

has been acquitted of the crime charged or whose conviction is reversed on appeal because of insufficient evidence. Bullington v. Missouri, 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (1981); Burks v. United States, 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978). In Bullington, the United States Supreme Court made these principles applicable to state death sentencing proceedings when such proceedings resemble a trial. The Court later specifically held that Arizona's death sentencing procedure is a separate trial for double jeopardy purposes, thus invoking all double jeopardy protections. Arizona v. Rumsey, ____ U.S. ____, 104 S.Ct. 2305, ____ L.Ed.2d ____ (1984). In Arizona, therefore, if a trial court "acquits" a defendant on the ultimate issue in the death sentencing proceeding -- whether to impose the death penalty -- or if this Court reverses a death penalty "conviction" because of insufficient evidence, the double jeopardy rule prohibits retrial of the death penalty issue. Arizona v. Rumsey, supra; Bullington v. Missouri, supra.

Our decision in Poland I was surely a reversal of defendant's death penalty "conviction" for insufficient evidence constituting a final acquittal of that charge. In Poland I the trial court found one aggravating circumstance upon which it based the death

penalty: A.R.S. § 13-454(E)(6) (now § 13-703(F)(6)), that defendant committed the offense in an especially heinous, cruel, or depraved manner. Because of a mistake of law, however, the trial court failed to find the pecuniary gain aggravating circumstance, A.R.S. § 13-454(E)(5) (now § 13-703(F)(5)). On appeal, this Court thoroughly analyzed the lone aggravating circumstance supporting defendant's death penalty, and we found it nonexistent because of insufficient evidence. As a matter of common sense, then, when this Court struck down the sole aggravating factor found by the trial court to justify defendant's death penalty because of insufficient evidence, we necessarily reversed defendant's death penalty "conviction" for lack of sufficient evidence.

No other view of our Poland I decision is possible. As this Court does not write non-binding advisory opinions, the death sentence review in Poland I cannot be viewed as such. Further, even if our discussion in Poland I could somehow be construed as dicta, I had always believed that dicta was binding upon the parties in the case in which the dicta appears. It was certainly binding in the instant case.

The majority, however, explains our decision in Poland I by

relying upon the law as it stood before Bullington and Rumsey.
According to the majority,

"Our holding in Poland I, however, was simply that the death penalty could not be based solely upon this aggravating circumstance [cruel, heinous, or depraved] because there was insufficient evidence to support it. This holding was not tantamount to a death penalty 'acquittal'."

Though perhaps correctly characterizing our holding in Poland I, the majority fails to see that the disposition in Poland I is unacceptable under current double jeopardy rules, which apply retroactively to this case. At the time of Poland I it was appropriate to resentencing defendant, despite this Court's nullification of the sole aggravating circumstance against him. It was appropriate, however, only because Arizona's death sentencing procedure was not then considered a separate trial for double jeopardy purposes.

The United States Supreme Court has since changed the law, and now death sentencing procedures are separate trials for double jeopardy purposes. Arizona v. Rumsey, supra; Bullington v. Missouri, supra. Thus, in the Poland I death sentencing "trial" defendant was found guilty of the charge against him --

whether to impose the death penalty. One basis supported that "conviction". This Court, however, found that sole basis non-existent because of insufficient evidence. Thus, just as in any another type of trial, when this Court finds the sole basis for a conviction unsupported by the evidence, we necessarily reverse that conviction for lack of sufficient evidence. Furthermore, just as in any other type of trial, such a reversal is a final acquittal for double jeopardy purposes. *Burks v. United States*, supra; *Green v. Massey*, 437 U.S. 19, 98 S.Ct. 2151, 7 L.Ed.2d 15 (1978) (applying *Burks* to the states). The majority's explanation of *Poland I* would allow appellate courts to reverse convictions for insufficient evidence and then remand to the trial court with instructions to convict the defendant of the same charge on another basis. Such a result cannot be correct.

Furthermore, as settled by *Rumsey*, the trial court's error in not finding the pecuniary gain aggravating circumstance at the first trial in no way justifies a second sentencing proceeding. In "acquitting" the defendant of the death penalty, the trial judge in *Rumsey* made the exact legal error the trial judge made in the instant case. Nevertheless, this Court and the United

States Supreme Court held that the trial court's erroneous "acquittal" was final for double jeopardy purposes. As stated by the high court in Rumsey:

"Reliance on an error of law, however, does not change the double jeopardy effects of a judgment that amounts to an acquittal on the merits. '[T]he fact that "the acquittal may result from erroneous evidentiary rulings or erroneous interpretations of governing legal principles" * * * affects the accuracy of that determination, but it does not alter its essential character.' United States v. Scott, 437 U.S. 82, 98, 98 S.Ct. 2187, 2197, 57 L.Ed.2d 65 (1978) (quoting Id., at 106, 98 S.Ct. at 2201 BRENNAN, J., dissenting)). Thus, this court's cases hold that an acquittal on the merits bars retrial even if based on legal error."

Arizona v. Rumsey, supra, at ____ - ____, 104 S.Ct. at 2310-2311, ____ L.Ed.2d at ____ - ____ . As this Court effectively "acquitted" defendant of the death penalty in Poland I, reimposition of the death penalty was improper, despite the trial court's error in failing to find the pecuniary gain aggravating circumstance.

The majority, however, maintains that it has reached the correct conclusion because, unlike Bullington and Rumsey, defendant in this case was sentenced to death at the first

trial.¹ If I could ignore the principle established in *Burks v.*

¹ In support of this reasoning the majority cites *Knapp v. Cardwell*, 667 F.2d 1253, 1264-65 (9th Cir.), cert. denied, 459 U.S. 1055, 103 S.Ct. 473, 74 L.Ed.2d 621 (1982). That case, however, is inapplicable to the instant case. In *Knapp*, a class of Arizona death row inmates brought suit challenging the constitutionality of the Arizona death sentence statute and argued that, even if constitutional, its application to them violated ex post facto laws and the double jeopardy clause.

Rejecting this argument, the Ninth Circuit Court of Appeals stated:

"The present case is clearly distinguishable from *Bullington*. First, appellants in this case, unlike *Bullington*, were sentenced to death at their original sentencing. There exists no implied 'acquittal' in the case. See *Bullington*, 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (Justice Powell, dissenting).

* * *

"In addition, the Arizona sentencing procedure, both before and after *Watson*, bears less resemblance to a trial than did that of Missouri. For example, the Arizona sentencing decision is made by the judge rather than the jury, and the procedure for presenting the evidence in Arizona is much less trial-like. These differences lend weight to our holding that in this case no implied acquittals have been shown to exist."

667 F.2d at 1265.

The *Knapp* reasoning is inapplicable to this case for an important reason the majority does not acknowledge: the death sentences in *Knapp* were never reversed on appeal for insufficient
(Footnote continued)

United States, supra, and *Greene v. Massey*, supra, I might agree with the majority's argument. In *Burks* and *Greene*, however, the United States Supreme Court held that an appellate reversal for insufficient evidence has exactly the same double jeopardy effect as a jury acquittal. The *Burks* rationale is logical:

"In short, reversal for trial error, as distinguished from evidentiary insufficiency, does not constitute a decision to the effect that the government has failed to prove its case. As such, it implies nothing with respect to the guilt or innocence of the defendant. Rather, it is a determination that a defendant has been convicted through a judicial process which is defective in some fundamental respect, e.g., incorrect receipt or rejection of evidence, incorrect instructions, or prosecutorial misconduct. When this occurs, the accused has a strong interest in obtaining a fair readjudication of his guilt free from error, just as society maintains a valid concern for insuring that the guilty are punished. See Note, Double Jeopardy: A New Trial After Appellate Reversal for Insufficient Evidence, 31 U.Chi.L.Rev.

¹(continued)

evidence. The death sentence in this case was reversed on appeal for insufficient evidence thus rendering it identical to a final acquittal for double jeopardy purposes. See *Burks v. United States*, supra.

In addition, this Court and the United States Supreme Court expressly rejected the *Knapp* analysis that our death sentencing proceeding is not like a trial. *Arizona v. Rumsey*, supra. *State v. Rumsey*, 136 Ariz. 166, 665 P.2d 48 (1983).

365, 370 (1964).

"The same cannot be said when a defendant's conviction has been overturned due to a failure of proof at trial, in which case the prosecution cannot complain of prejudice, for it has been given one fair opportunity to offer whatever proof it could assemble. Moreover, such an appellate reversal means that the government's case was so lacking that it should not have even been submitted to the jury. Since we necessarily afford absolute finality to a jury's verdict of acquittal--no matter how erroneous its decision--it is difficult to conceive how society has any greater interest in retrying a defendant when, on review, it is decided as a matter of law that the jury could not properly have returned a verdict of guilty." (emphasis in the original)

Burks v. United States, supra, 437 U.S. at 15-16, 98 S.Ct. at 2149-2150, 57 L.Ed.2d at 12-13.

As explained above, our decision in Poland I was nothing but an appellate reversal of defendant's death penalty "conviction" for lack of sufficient evidence. As established in Burks and reaffirmed in Bullington, this reversal is exactly the same as the factfinder's acquittal of defendant on the death penalty "charge." Thus, it violated double jeopardy to retry defendant on that charge. See Jones v. Thigpen, 741 F.2d 805 (5th Cir. 1984) (Defendant sentenced to death at the trial court, but

appellate court found insufficient evidence to support that sentence. Citing Bullington, Rumsey, Burks and Green, the court held double jeopardy prevented state from again subjecting defendant to death sentencing hearing in second trial.)² The majority's basis for distinguishing this case from Bullington and Rumsey, therefore, is erroneous because it concentrates only on the trial court decision while ignoring the important double

² Though Jones v. Thigpen, supra, is slightly distinguishable from the instant case, the distinguishing factor makes no difference. In Jones, appellant's death sentence was not reversed because of insufficient evidence supporting the aggravating factors but because insufficient evidence supported a finding that Jones killed, intended to kill or attempted to kill the victim. See Enmund v. Florida, 458 U.S. 782, 102 S.Ct. 3368, 73 L.Ed.2d 1140 (1982). Thus, it was an insufficiency of Enmund evidence that spared Jones' life.

This difference is insignificant because, like this case, Jones' key issue was the state's insufficient evidence supporting the death penalty. The Jones court agreed with the defendant "that Enmund's is a rule of evidentiary sufficiency, and that because the State failed to produce sufficient evidence of personal culpability at the first trial it is barred by the Double Jeopardy Clause from a second chance." Jones v. Thigpen, supra at 814. Thus, just as I believe should be the result in this case, "if the jury under Bullington [the judge under Rumsey] or an appellate court under Burks finds the prosecution's evidence in support of the death penalty insufficient, the defendant cannot again be made to face a possible death sentence." Id. at 815.

jeopardy effects of our decision in Poland I.

Finally, I will address what I believe to be an unstated basis for the majority opinion. That is, in Poland I, this Court ordered an entire new trial, including both the guilt or innocence phase and the death sentencing phase. Thus, as both phases of trial are fundamentally connected to each other, if convicted, the defendant should be subject to a totally new sentencing in the second trial. Though I believe this position is entirely reasonable, the law as it now stands rejects this thinking.

First, Bullington established that death sentencing proceedings are wholly separate from the guilt or innocence phase for double jeopardy purposes. In Bullington the defendant was convicted of capital murder and sentenced to life imprisonment. The trial court granted a new trial on the guilt or innocence phase but refused to allow the state a second chance to attempt to sentence the defendant to death. Affirming the trial court, the United States Supreme Court held that the first death sentencing procedure was a trial for double jeopardy purposes and that the acquittal the defendant received in that trial prevented a retrial on the death sentence in the second murder trial.

Thus, whether or not an appellate court grants a new trial on the guilt or innocence phase, a final acquittal in the death sentencing phase prevents a retrial of defendant on the death sentence issue.

As previously shown, then, our reversal of defendant's death sentence in Poland I equalled a final acquittal on that issue, and, as Bullington shows, that final acquittal in the first trial prevents retrial of the death sentence in the second trial.

The result I urge in this case is in no way bizarre or unheard of. It is simply a matter of logically applying existing law. Other courts have reached the exact result I argue for. In a case decided before Bullington, the Court of Criminal Appeals in Texas reversed the guilt or innocence phase of a defendant's trial for legal error and reversed imposition of the death penalty for insufficient evidence. Brasfield v. State, 600 S.W.2d 288 (Tex. Crim. App. 1980). In remanding the case to the trial court, the appeals court, citing Burks and Green, held that the defendant could not again be tried for capital murder where the state seeks the death penalty. The United States Supreme Court cited Brasfield in footnote 9 of Bullington.

In a case subsequent to Bullington, the presiding judge of

the Texas Court of Criminal Appeals gave an able analysis of the situation confronting us today:

"The evidence being insufficient to support the assessment of the death penalty, death is no longer an available penalty. *Brasfield v. State*, 600 S.W.2d 288 (Tex. Cr. App. 1980); *Bullington v. Missouri*, U.S. ___, 101 S. Ct. 1852, 68 L.Ed.2d 1270 (1981); *Burks v. United States*, 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978); *Greene v. Massey*, 437 U.S. 19, 98 S.Ct. 2151, 57 L.Ed.2d 15 (1978). In a capital murder case where the evidence is insufficient to support the death penalty assessed, the reviewing court, before deciding on the proper disposition of the appeal, must determine if the guilt stage is free from reversible error. If the guilt stage is not free of such error, the cause must be reversed for such error, and upon any retrial the death penalty would not be an available penalty."

Wallace v. State, 618 S.W.2d 67, 74 (Tex. Crim. App. 1981).

Today, however, the majority holds that a death sentence "conviction" reversed on appeal for insufficient evidence invokes no double jeopardy protections. This holding is contrary to the law established in *Arizona v. Rumsey*, supra; *Bullington v. Missouri*, supra; *Burks v. United States*, supra; and *Green v.*

Massey, supra and I, therefore, dissent. Accordingly, I would reduce defendant's sentence to life imprisonment without possibility of parole for twenty-five years.

FRANK X. GORDON, JR.
Vice Chief Justice

FELDMAN, Justice:

I concur in Vice Chief Justice Gordon's special concurrence and dissent.

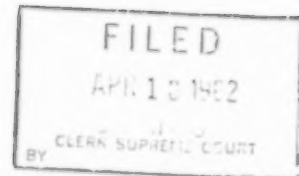
STANLEY G. FELDMAN
Justice

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

APPENDIX II

State of Arizona v. Patrick Gene Poland
Opinion of the Supreme Court dated March
20, 1985.

IN THE SUPREME COURT OF THE STATE OF ARIZONA
In Banc



STATE OF ARIZONA,)
)
Appellee,)
)
v.)
)
MICHAEL KENT POLAND,)
and PATRICK GENE POLAND,)
)
Appellants.)
)

Nos. 4969 & 4970
(Consolidated)

Appeal from the Superior Court of Yavapai County

Cause No. 8850

The Honorable Paul G. Rosenblatt, Judge

REVERSED AND REMANDED
FOR NEW TRIAL

Robert K. Corbin, The Attorney General	Phoenix
By William J. Schafer III and Gerald R. Grant	
Assistant Attorneys General	
Attorneys for Appellee	

Boyle, Brown, Eaton & Pecharich	Prescott
By Wm. Lee Eaton	
Attorneys for Appellant Michael Kent Poland	

John C. Stallings	Prescott
Attorney for Appellant Patrick Gene Poland	

CAMERON, Justice

This is a consolidated appeal by defendants Michael Kent Poland and Patrick Gene Poland from jury verdicts of guilt to the crimes of first degree murder of Cecil Newkirk and Russell Dempsey, in violation of former A.R.S. §§ 13-451 and 13-452. Defendants were sentenced to death pursuant to former A.R.S. §§ 13-453(A) and 13-454(E). We have jurisdiction of this appeal pursuant to A.R.S. § 13-4031.

Because we must reverse as a result of jury misconduct, we need not consider all the questions raised by the defendants. We will, however, consider those questions which are likely to be raised again on retrial of the matter, it being kept in mind that different evidence presented at retrial might mandate different results.

Defendants raise the following issues on appeal:

1. Jurisdiction:

(a) Did the State of Arizona lack jurisdiction and the County of Yavapai lack venue to try defendants because of failure to show that the crimes were committed in the State of Arizona and the County of Yavapai?

(b) Did the prior federal prosecution of defendants arising out of the same facts bar the action in the state court?

2. Suppression of Evidence:

(a) Did a tour of Michael Poland's house constitute an impermissible warrantless search?

(b) Was the search warrant based on statements made in reckless disregard for the truth?

(c) Was the search warrant based on tainted, post-hypnotic statements of a witness?

(d) Was the scanner, scanner key, and taser gun receipt seized during the search outside the scope of the search warrant?

(e) Did the trial court err in allowing the taser gun to be admitted into evidence?

- (f) Was it reversible error to admit the testimony of a witness who, prior to trial, had been hypnotized and questioned on the subject of his testimony?
3. Was the evidence sufficient to support the verdict?
 4. Did the jury's knowledge of extraneous information deny the defendants a fair trial?
 5. Was there sufficient evidence to find that the murders were committed in an especially heinous, cruel or depraved manner?

The facts necessary to a determination of this appeal are as follows. At approximately 8 A.M. on 24 May 1977, a Purolator van containing some \$328,180 in cash left Phoenix on a routine delivery to banks in various towns in northern Arizona. When the van failed to make its deliveries, the authorities were notified. The abandoned van with some \$35,150 in cash was discovered early the next day a short distance off Highway I-17.

The evidence revealed that on the morning of 24 May 1977, a number of passing motorists had noticed a Purolator van pulled over to the side of Highway I-17 by what appeared to be a police car. Some witnesses identified the two uniformed men as Michael and Patrick Poland. The evidence also showed that on 24 May 1977, Michael and Patrick Poland borrowed a pickup truck and tarpaulin from their father, George Poland. Early on 25 May 1977, Michael Poland rented a boat at the Temple Bar Marina on Lake Mead. He stated that he planned to meet his brother Patrick at Bonelli Landing, a primitive camping area on the Lake, and to do some fishing. At some point, George Poland's truck became stuck in the sand at the water's edge at Bonelli Landing with the tailgate facing the water. After their attempts to extricate it had failed, the Polands called a towing service. Stan Sekulski was the operator of the tow truck. A few days later, the Polands returned their father's truck with a new tarp, explaining the old one had been ruined when they placed it under the wheels of the truck for traction.

Three weeks later, the body of Cecil Newkirk, one of the guards of the Purolator van, surfaced on Debbie's Cove, a small inlet on the Nevada side of Lake Mead. The body was partially covered by a canvas bag. A week later, park rangers searching the area discovered the body of the other Purolator guard, Russell Dempsey, a short distance from the place Cecil Newkirk's body had been found. Autopsies revealed that the most probable cause of death was drowning, although in the case of Mr. Dempsey the pathologist was unable to rule out a heart attack as a possible cause of death. The bodies had been in the water two weeks or longer. There was no evidence that the guards had been wounded or tied before being placed in the water. Although it was impossible to determine whether they had been drugged, there was no evidence of a struggle. Divers searching the area recovered two other canvas bags, one containing a tarp and blanket. They also brought up two revolvers, which were identified as belonging to the guards, and a license plate bearing the insignia found on Arizona Department of Public Safety automobiles. These were found near a pile of rocks which had evidently fallen out of the bag when it was recovered by a diver. The rocks were of the type found along the shore of Debbie's Cove.

Searches of the homes of Michael and Patrick Poland on 27 July 1977 revealed a number of weapons, including a taser gun, large amounts of cash, and items of police-type paraphernalia. Of particular interest were a scanner and scanner key which were capable of monitoring radio frequencies, a notebook listing local police frequencies, a receipt for a taser gun bearing the name Mark Harris, handcuff cases, and a gunbelt. Both of the rented cars of the Polands, which were light-colored Chevrolet Malibus, had siren-type burglar alarms which could be activated from inside or outside of the car. Evidence also connected the Polands to the purchase of a "light bar" or rack which could be placed on top of an automobile and would resemble a law enforcement light bar or rack. The canvas bags found in the lake were shown to have been purchased by a Mark

Harris.

Although neither Michael nor Patrick Poland had regular employment, the evidence showed that they made numerous large purchases during June and July of 1977. These purchases included appliances, furniture, motorcycles, and a business. Most of the purchases were made in cash or by a cashier's check.

The Polands' defense was alibi. They both took the stand and testified that they had disguised themselves as law enforcement officers and robbed drug dealers on three occasions in early 1977. They testified that they had also been dealing in gems for several months prior to the Purolator incident and that on 24 May 1977, had taken a load of raw turquoise to Las Vegas and returned by way of Lake Mead to do some camping.

From the jury verdicts and judgments of guilt to first degree murder of Cecil Newkirk and Russell Dempsey, sentences of death, and denial of their motion for a new trial, defendants appeal.

JURISDICTION

- a. Did the murder occur outside the jurisdiction of Arizona?

The evidence supports a finding that defendants stopped the Purolator van somewhere near the Bumble Bee exit off Highway I-17 in Yavapai County, Arizona, where they captured the two guards and took the contents of the van. The following day, defendant Michael Poland rented a boat at the Temple Bar Marina, located on Lake Mead in Mohave County, Arizona. He met his brother Patrick in the boat at Bonelli Landing, also in Mohave County. The evidence would support a finding that the defendants loaded the two guards into the boat, traveled some distance, and dumped them into the water. The bodies of the two guards were found a few miles from Bonelli Landing, in Debbie's Cove, in Clark County, Nevada. The evidence does not indicate where the deaths of the two victims actually took place.

The defense argues that, because the State had been unable to prove where the guards died, the State of Arizona has no jurisdiction to try the Polands for murder. We do not agree. Even if we assume that the actual murder took place on the Nevada side of Lake Mead, there are sufficient elements of the crime which occurred in Arizona to give the Arizona court jurisdiction.

Generally, a homicide is "committed" where the fatal wound or blow is inflicted. 40 Am.Jur.2d Homicide § 198. Jurisdiction, however, is not limited to those crimes committed totally or exclusively within the state. Jurisdiction of the Arizona courts in criminal cases extends to crimes when any element has been committed in the State of Arizona.

"A. This state has jurisdiction over an offense that a person commits by his own conduct or the conduct of another for which such person is legally accountable if:

1. Conduct constituting any element of the offense or a result of such conduct occurs within this state; * * * " A.R.S. § 13-108(A)(1).

When the elements of a crime are committed in different jurisdictions, any state in which an essential part of the crime is committed may take jurisdiction. State v. Scofield, 7 Ariz. App. 307, 438 P.2d 776 (1968). "Any element," then, can confer jurisdiction. State v. Bussdieker, 127 Ariz. 339, 621 P.2d 26 (1980).

The elements of first degree murder are: (1) the unlawful killing (2) of a human being (3) with malice aforethought. Former A.R.S. § 13-451(A). There was evidence of the defendants' activities in planning the crime, for example, the purchase of the canvas bags used to hold the bodies of the victims and the boat rental. These acts constituted evidence of premeditation from which the element of malice aforethought could be inferred. State v. Tostado, 111 Ariz. 98, 523 P.2d 795 (1974); State v. Bustamante, 103 Ariz. 551, 447 P.2d 243 (1968).

These acts of premeditation occurred in Arizona. We hold that Arizona had jurisdiction to try the defendants.

But defendants also urge that they should not have been tried in Yavapai County because of improper venue. Defendants contend that they have a state constitutional right to be tried in the county where the deaths occurred. The Arizona Constitution states:

"Section 24. In criminal prosecutions, the accused shall have the right * * * to have a speedy public trial by an impartial jury of the county in which the offense is alleged to have been committed, * * *."
Arizona Constitution, Art. 2, § 24.

And our statute at the time of the offenses read:

"Where several acts are requisite to the commission of an offense, the trial may be in any county in which any of such acts occurs." Former A.R.S. § 13-1504 (B). See present A.R.S. § 13-109(A).

In dismissing a Pima County indictment for attempted murder for hire, where the payment for the murder was made in Pinal County, our Court of Appeals stated:

"We therefore hold that under A.R.S. Sec. 13-1504(B) the act must be one essential to the commission of the crime charged as such crime is defined by statute. In other words, the act must be part of the corpus delicti of the crime if it is to have any jurisdictional significance. (citations omitted)" State v. Cox, 25 Ariz.App. 328, 331, 543 P.2d 449, 452 (1975).

We believe the instant case and State v. Cox, supra, can be distinguished. In Cox, all the acts constituting the crime of attempted murder for hire occurred in Pinal County and Pima County was not the correct venue. In the instant case, the crime is premeditated murder. Premeditation is part of the corpus delicti of the crime of first degree murder and the evidence indicates that, in addition to an intent, there were numerous acts of premeditation which occurred in Yavapai County, including particularly the kidnapping of the victims.

There were, then, sufficient essential acts requisite to the commission of the crime which occurred in Yavapai County. Venue for the trial was properly in Yavapai County.

- b. Does the principle of double jeopardy bar prosecution by the State of Arizona?

Prior to the trial in the instant case, the defendants were convicted in federal court of armed robbery and kidnapping of the two guards. The trial in Arizona was for the murder of the same two guards. Defendants urge that prosecution by the State of Arizona was barred by their conviction in federal court for acts arising out of the same transaction. We do not agree.

In *Bartkus v. Illinois*, 359 U.S. 121, 79 S.Ct. 676, 3 L.Ed.2d 684 (1959), the Supreme Court of the United States held that state prosecutions of defendants who had already been prosecuted in federal court for the same acts did not violate due process. The court in *Bartkus* reasoned that an individual is a citizen of both the United States and a state or territory and is subject to the laws of both. Because a single act could violate both federal and state law, prosecutions by the state and the federal government may be based on a single act and be proven by the same facts without violating due process. The court in *Bartkus* said:

"With this body of precedent as irrefutable evidence that state and federal courts have for years refused to bar a second trial even though there had been a prior trial by another government for a similar offense, it would be [in] disregard of a long, unbroken, unquestioned course of impressive adjudication for the Court now to rule that due process compels such a bar. * * * " *Bartkus v. Illinois*, supra, 359 U.S. at 136, 79 S.Ct. at 685, 3 L.Ed.2d at 694.

Bartkus stands for the rule that, as far as the United States Constitution reaches, a defendant may, based upon the same facts, be guilty of crimes against two sovereigns at the same time and be punished for each crime separately and without

regard to the other.

Although some state courts have suggested limits to *Bartkus*, *Commonwealth v. Mills*, 447 Pa. 163, 286 A.2d 638 (1971); *State v. Fletcher*, 26 Ohio St.2d 221, 271 N.E.2d 567 (1971); *People v. Cooper*, 398 Mich. 450, 247 N.W.2d 866 (1976), we find no reason to change this long standing rule. We hold that, even if the defendants were charged and convicted upon the same set of facts that supported the federal convictions, the United States Constitution and *Bartkus* would allow the state convictions to stand.

Defendants contend, however, that the Arizona prosecution is barred by former A.R.S. § 13-146 (now A.R.S. § 13-112), which stated:

"When on the trial of an accused person it appears that upon a criminal prosecution under the laws of the United States, or of another state or country, founded upon the act or omission in respect to which he is on trial he has been acquitted or convicted, it is a sufficient defense." A.R.S. § 13-146 (now A.R.S. § 13-112).

We disagree. This is not a situation of parallel prosecutions. The prosecutions were for distinct and separate crimes occurring at different times. The federal prosecutions were for kidnapping and armed robbery, while the state prosecution was for murder. A.R.S. § 13-146 does not prevent Arizona from prosecuting the Polands for murder. See *Henderson v. State*, 30 Ariz. 113, 244 P. 1020 (1926); *State v. Wortham*, 63 Ariz. 148, 160 P.2d 352 (1945).

Defendants also urge that the state prosecution constitutes double punishment contrary to A.R.S. § 13-116. They urge that the same evidence used by the federal prosecution was "reused" to convict them of separate crimes in the state court. Under the identical elements test, evidence supporting one charge is eliminated to determine whether the remaining evidence supports the elements of the additional charge. *State v. Tinghitella*, 108 Ariz. 1, 491 P.2d 834 (1971). In the instant case, as we have noted above, all three crimes have sufficient separate

factual bases to stand alone. Further, the identical elements test applies only when the State seeks convictions for more than one crime arising out of the same criminal transaction. Here the State only charged the defendants with murder, and the double punishment section does not apply. We find no error.

SUPPRESSION OF PHYSICAL EVIDENCE

a. Tour of Michael Poland's house.

During the investigation of the crimes, the F.B.I. learned that the home Michael Poland was renting was for sale. Agent Gotliebson, who had been conducting a surveillance on Michael Poland's residence, contacted the realtor and, posing as a prospective home buyer, arranged to view the premises. During the tour on 24 June 1977, which included the house, garage, barn, and various shelves and closets in the house, Agent Gotliebson noted a number of firearms and two motorcycles. A search of Michael Poland's house pursuant to a warrant was executed on 27 July 1977.

Because Gotliebson gained entry by misrepresenting his identity and purpose, the defendants urge that the entry was an illegal search in violation of the Fourth and Fourteenth Amendments, and all evidence seized pursuant to the subsequent search warrant must be suppressed as fruit of the poisonous tree under *Wong Sun v. United States*, 371 U.S. 471, 83 S.Ct. 407, 9 L.Ed.2d 441 (1963).

We do not agree. The government is entitled to use decoys and to conceal the identity of its agents, *Lewis v. United States*, 385 U.S. 206, 87 S.Ct. 424, 17 L.Ed.2d 312 (1966), and law enforcement officers may pose as potential buyers to investigate illegal firearms, *United States v. Ressler*, 536 F.2d 208 (7th Cir. 1976); or narcotics, *United States v. Glassel*, 488 F.2d 143 (9th Cir. 1973). They may also state that they are on some other business to gain access to property or induce the suspect to open the door. For example, law

enforcement officials posed as a hotel manager in *State v. Sardo*, 112 Ariz. 509, 543 P.2d 1138 (1975); a friend in *United States v. Raines*, 536 F.2d 796 (8th Cir. 1976); a motorist with car trouble in *United States v. Wright*, 641 F.2d 602 (8th Cir. 1981); and a potential Ku Klux Klan member in *United States v. Bullock*, 590 F.2d 117 (5th Cir. 1979).

The only limitation appears to be that the agent is limited to conduct which would be normal for one adopting the disguise used in seeking entry:

"When an agent assumes a particular pose in order to gain entry into certain premises and then obtains information by engaging in activity not generally expected of one assuming that pose, that information is illegally obtained * * *" *United States v. Kessler*, supra, at 211. (emphasis added)

In the instant case, the agent saw what would normally be seen by any prospective buyer inspecting the house. The defendant, however, urges that the reasonableness of the search accomplished through deception depends upon whether the agents were present for purposes contemplated by the occupant. We do not agree. The court in *Lewis*, supra, did consider it relevant that the official was on the premises "for the very purposes contemplated by the occupant." However, defendant's reliance on the purpose as the distinguishing factor between permissible and impermissible searches is, we believe, misplaced. In the case of a deceitful entry, the law enforcement agent's purpose will, by definition, be different than that contemplated by the suspect. In the instant case, the agent may see only what any prospective buyer would expect to see. To hold that the validity of the search in the case of deceitful entry depends upon whether the purpose of the agent in entering the premises was the same as the reason the suspect allowed him to enter, would make all deceitful entry searches unconstitutional. The distinction, then, between permissible and impermissible intrusions turns on what the suspect, as a result of the agent's

deceit, has chosen to show to the one entering the premises. The United States Supreme Court has stated:

"* * * the Fourth Amendment protects people not places. What a person knowingly exposes to the public, even in his own home or office, is not a subject of Fourth Amendment protection." Katz v. United States, 389 U.S. 347, 351, 88 S.Ct. 507, 511, 19 L.Ed.2d 576, 582 (1967).

We hold that the entry did not constitute an unreasonable search.

b. Sufficiency of the search warrant affidavit

During the preliminary investigation of the crimes, the Poland brothers emerged as suspects. The F.B.I. formulated the theory that the Polands, disguised as law enforcement officials and driving what appeared to be a police vehicle, had pulled over the Purolator van on Highway I-17 and stolen the cash it was carrying. The F.B.I. suspected that the Polands overpowered the guards and took them to Lake Mead, where they dumped them into the water. To substantiate this theory, the F.B.I. sought search warrants for the homes, cars, rented storage lockers, and persons of Michael and Patrick Poland, and the home and truck of their father, George Poland. The affidavit for a search warrant requested authorization to seize, among other things, currency, money bags, police-type wearing apparel and paraphernalia, weapons, cloth bags large enough to place over an individual, and receipts of expenditures. The affidavit executed by F.B.I. Special Agent John Oitzinger runs more than four typed pages, detailing the facts of the crimes and findings of the investigation. The affidavit included the report of a tracker regarding wheel tracks on the shoulder of I-17 where the F.B.I. believed the van was stopped and statements of witnesses who saw a "police car" and the van pulled off the road. It also included statements of the individual who rented a boat to Michael Poland. The affidavit noted that collect calls were made from the Bumble Bee area

to Patrick Poland's home on two occasions prior to the crimes. It alleged that neither Michael or Patrick Poland had worked at regular employment recently, but that both had made substantial purchases in the two months following the crimes. We believe that the recital of facts in the affidavit was sufficient to support the issuance of the warrant.

Defendants contend, however, that some of the statements in the affidavit were made in reckless disregard of the truth. Two weeks after the crime, the boat that was rented by Michael Poland on 25 May 1977 was identified and impounded by the F.B.I. A routine report was prepared by Special Agent Oldham, in which he stated that there was a "small red stain" on the bottom of the scoop which had been found in the boat. In preparing his affidavit for the search warrant, Agent Oitzinger reviewed the reports, examined the scoop, and wrote the following description:

"Some hairs and fibers and blood found on a plastic half gallon container with the bottom cut off (probably used for the purpose of bailing water) and an empty Coors beer can were retained as evidence."

Several days after the affidavit was signed, Agent Oitzinger received the results of the tests conducted by the F.B.I. Laboratory in Washington, D.C., which indicated that the scoop contained no hair, fibers, or blood.

Defendants, citing *Franks v. Delaware*, 438 U.S. 154, 98 S.Ct. 2674, 57 L.Ed.2d 667 (1978), urge that the statement that the scoop contained blood was a knowing or intentional falsehood, or, alternatively, that it was made with a reckless disregard for its truth or falsity. They contend that evidence of blood is so prejudicial in a murder investigation that it contributed substantially to a finding of probable cause. They conclude that the search warrant based on false information was invalid and that all evidence seized pursuant to it must be suppressed.

In *Franks v. Delaware*, supra, the United States Supreme Court held that a defendant may attack a search warrant affidavit when probable cause was based on intentional or reckless

falsehood. If the defendant is able to make a substantial preliminary showing that the false statement was made knowingly and intentionally, or with reckless disregard for the truth and that the false statement is necessary to a finding of probable cause, the defendant is entitled to a hearing. If at the hearing defendant proves perjury or reckless disregard by a preponderance of the evidence, the false statement is excised from the affidavit. The affidavit's remaining content must be sufficient to establish probable cause, or the search warrant is voided and evidence seized pursuant to it excluded. United States v. Young Buffalo, 591 F.2d 506 (9th Cir. 1979).

In the instant case, Oitzinger admitted that the portion of the affidavit alleging that there was blood on the scoop was false but not intentionally or recklessly false. He testified concerning the preparation of the affidavit:

"Q And that was not true with respect to the blood sample that was included in the affidavit, the reference to the blood sample, was it?

"A At the time I reported that I wasn't sure. I thought it was blood.

* * * * *

"BY MR. EATON: It wasn't the truth, was it?

"A At the time I thought it was.

"Q It was not the truth, was it? Answer the question yes or no.

"A At the time I thought it was the truth.

"Q All right. You had no expert information which you bothered to consult which would have told you whether or not that statement that you were making in the affidavit was the truth, isn't that correct?

"A It turns out it was not the truth.

"Q And you didn't think that was reckless conduct on your part?

"A No, I do not."

We do not believe that Agent Oitzinger's failure to obtain the test results before signing the affidavit constituted reckless disregard for the truth. In *United States v. Davis*, 617 F.2d 677 (D.C. Cir. 1979), the court defined reckless disregard for the truth by analogy to the law of defamation. Citing *St. Amant v. Thompson*, 390 U.S. 727, 88 S.Ct. 1323, 20 L.Ed.2d 262 (1968) and *Herbert v. Lando*, 441 U.S. 153, 99 S.Ct. 1635, 60 L.Ed.2d 115 (1979), the *Davis* court found that the affiant acted with reckless disregard if he "in fact entertained serious doubts as to the truth of his publication." This could be shown by actual deliberation or by "obvious reasons to doubt the veracity of the informant or the accuracy of his reports." *Davis*, supra at 694. Agent Oitzinger's testimony indicates that he did not entertain serious doubts as to the truth of his affidavits and we agree. However, even if we believed that the actions of the agent constituted a reckless disregard for the truth, the affidavit's remaining contents are sufficient to establish probable cause. *United States v. Young Buffalo*, supra. We find no error.

- c. Was the search warrant based on improper post-hypnotic statements?

Defendants next challenge the use of post-hypnotic statements made by Stan Sekulski, a witness for the prosecution, who towed George Poland's truck out of the sand at Bonelli Landing on 25 May 1977. Defendants cite *State v. LaMountain*, 125 Ariz. 547, 611 P.2d 551 (1980) and *State v. Mena*, 128 Ariz. 226, 624 P.2d 1274 (1981) for the proposition that statements by a witness who has been hypnotized are unreliable and inadmissible in criminal cases. We have not precluded, however, the use of hypnosis for the purpose of finding probable cause for the issuance of a search warrant. As we noted:

"* * * Although we perceive that hypnosis is a useful tool in the investigative stage, we do not feel the state of the science (or

"art) has been shown to be such as to admit testimony which may have been developed as a result of hypnosis. * * * " State v. LaMountain, supra, 125 Ariz. at 551, 611 P.2d at 555.

And again:

"In conclusion, the use of hypnosis during the investigative stage is permissible if used with great reserve by trained personnel with reasonable safeguards." State ex rel Collins v. Superior Court, Ariz. P.2d (filed 7 January 1982). On 2 March 1982, the Motion for Rehearing was granted in State ex rel Collins v. Superior Court to reconsider the hypnotism issue.

Whatever the rule may be regarding hypnotically induced testimony at trial, we have not excluded hypnotically produced statements to determine probable cause for a search warrant. Such statements, like hearsay, if properly corroborated, are not unreliable and may be used to find probable cause for the issuance of a search warrant. We find no error.

d. Seizure of the taser gun, scanner, and scanner key.

During the search of Mike Poland's home, on 26 July 1977, F.B.I. agents found a receipt from a gunshop for a taser gun, a weapon which temporarily paralyzes the victim with an electrical charge. The name on the receipt was Mark Harris. They also discovered a scanner, which is an instrument used to monitor radio frequencies. At Patrick Poland's house, they found a scanner key. These items were retained as evidence and later introduced at trial. Defendants contend that these items were neither contraband nor listed in the search warrant and therefore were illegally seized. Because the link of the items to the crime was speculative, defendants argue that the items were unduly prejudicial and should have been suppressed at trial.

Arizona law provided that evidence may be seized even though it is not listed in the search warrant. Former A.R.S. § 13-1446(C) stated:

"A peace officer executing a search warrant may seize any property discovered in the course of the execution of such warrant if he has reasonable cause to believe that such item is subject to seizure under § 13-1442, even if such property is not enumerated in the warrant."

The F.B.I. investigation had revealed that the robbery of the Purolator van had been committed by people posing as law enforcement officials. Evidence of the defendants' capability to monitor police radio frequencies was therefore relevant. The taser gun receipt also indicated that it had been purchased by an alias or accomplice, suggesting that it may have been purchased in contemplation of the crime or by another involved in the crime. We hold that the receipt for the taser gun, scanner, and scanner key were seizable under former A.R.S. § 13-1446(C).

Defendants, however, challenge the seizure on United States constitutional grounds, urging that seizure of items unnamed in the warrant constituted a general search which is proscribed by the Fourth and Fourteenth Amendments. We do not agree. Evidence may be seized if it is reasonably related to the crime, even if not listed in the search warrant. See *Coolidge v. New Hampshire*, 403 U.S. 443, 91 S.Ct. 2022, 29 L.Ed.2d 564 (1971). We have stated:

"The record clearly supports the conclusion that the officers were on Scigliano's premises pursuant to execution of a valid search warrant and that the challenged items * * * were found during a limited search which was reasonably calculated to locate items actually named in the warrant, as opposed to a general exploratory search of the premises. We also believe that the facts surrounding the search * * * provided a sufficient nexus between the disputed items and the crime for which the warrant was issued, so that the officers had probable cause to believe that those items were 'reasonably related' to the crime." *State v. Scigliano*, 120 Ariz. 6, 9, 583 P.2d 893, 896 (1978). See also *State v. Smith*, 122 Ariz. 58, 593 P.2d 281 (1979); *State v. Shinault*, 120 Ariz. 213, 584 P.2d 1204 (App. 1978).

We hold that the receipt for the taser gun, the scanner, and the scanner key were properly seized and admitted at trial.

e. Admissibility of the taser gun.

Defendants challenge the admissibility of the taser gun, arguing that its connection to the crimes was never proven and therefore that its probative value was greatly outweighed by its prejudicial effect.

The initial question is whether the gun was relevant to issues in the case. Rule 401, Arizona Rules of Evidence, 17A A.R.S. states:

"'Relevant evidence' means evidence having any tendency to make the existence of any fact that is of consequence to the determination of the action more probable or less probable than it would be without the evidence."

We do not believe that the taser gun was relevant to a determination of the facts in this case. Admission into evidence of weapons which are not connected with the crime can be prejudicial to the defendant and has been held to be reversible error. *United States v. Green*, 648 F.2d 587 (9th Cir. 1981); *United States v. Warledo*, 557 F.2d 721 (10th Cir. 1977). In the instant case, the State did not connect the weapon to the crime, and it was an abuse of discretion to admit the taser gun into evidence.

f. Admissibility of post-hypnotic statements at trial.

Defendants also argue that Mr. Sekulski's post-hypnotic testimony should have been excluded at trial, citing *State v. Mena*, 128 Ariz. 226, 624 P.2d 1274 (1981) and *State v. LaMountain*, 125 Ariz. 547, 611 P.2d 551 (1980). *Mena* and *LaMountain* were both decided by this court after the trial in the instant case. Upon retrial, we assume that the trial court will comply with the decisions of this court concerning the admissibility of hypnotically induced testimony. See *State*

ex rel. Collins v. Superior Court, supra.

SUFFICIENCY OF THE EVIDENCE

Pointing to a number of gaps in the State's case, the defendants argue that there was insufficient evidence to support the verdict. If there was insufficient evidence to support a conviction, it would not be proper to remand for a new trial as the double jeopardy clause of the Fifth Amendment precludes a second trial after appeal where there was insufficient evidence to sustain the verdict. *Burks v. United States*, 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978).

We find that there was substantial evidence to support the jury's verdict. Defendants were linked to purchases of weapons, canvas bags, and police-type paraphernalia. Their own testimony placed them on the highway on the day of the robbery and at Lake Mead renting a boat on the following day. Though unemployed, both began paying off bills and making large cash purchases shortly after the robbery. Where there exists "substantial evidence from the entire record from which a rational trier of fact could have found guilt beyond a reasonable doubt," we will uphold the verdict. *State v. Schad*, 129 Ariz. 557, 572, 633 P.2d 366, 381 (1981). The jury chose to believe the evidence offered by the State and to disbelieve the alibis of the defendants. This was their prerogative. *State v. Pieck*, 111 Ariz. 318, 529 P.2d 217 (1974). There was sufficient evidence upon which the trier of fact could find the defendants guilty. The defendants may be retried. *Burks*, supra. We find no error.

JURY MISCONDUCT

Rule 24.1(c), Arizona Rules of Criminal Procedure, 17 A.R.S., provides, in part, that the court may grant a new trial when:

"(3) A juror or jurors have been guilty of misconduct by:

" (i) Receiving evidence not properly admitted during the trial;

* * * * *

(iii) Perjuring himself or willfully failing to respond fully to a direct question posed during the voir dire examination;"

And subsection (d) provides:

"d. Admissibility of Juror Evidence to Impeach the Verdict

"Whenever the validity of a verdict is challenged under Rule 24.1(c)(3), the court may receive the testimony or affidavit of any witness, including members of the jury, which relates to the conduct of a juror, official of the court, or third person. No testimony or affidavit shall be received which inquires into the subjective motives or mental processes which led a juror to assent or dissent from the verdict." Rule 24.1(c & d), Arizona Rules of Criminal Procedure, 17 A.R.S.

Inquiry into jury misconduct was limited at common law by the rule that a juror who has agreed to the verdict in open court may not later impeach his own verdict. *State v. Cookus*, 115 Ariz. 99, 563 P.2d 898 (1977). The policy was to protect the process of frank and conscientious jury deliberations and the finality of jury verdicts. See Carlson and Sumberg, *Attacking Jury Verdicts: Paradigms for Rule Revision*, 1977 Ariz. State L.J. 247. However, when jury misconduct results in prejudicial influences on the jury, the defendant might be deprived of procedural safeguards afforded by a trial, the right to counsel, to confront witnesses against him, and to choose not to take the stand on his own behalf. *Parker v. Gladden*, 385 U.S. 363, 87 S.Ct. 468, 17 L.Ed.2d 420 (1966); *Turner v. Louisiana*, 379 U.S. 466, 85 S.Ct. 546, 13 L.Ed.2d 424 (1965); *State v. Skinner*, 108 Ariz. 553, 503 P.2d 381 (1972). Therefore, our rules now provide that juror testimony is admissible to impeach a verdict, but only for the types of jury misconduct enumerated in Rule 24.1(c)(3), Arizona Rules of Criminal Procedure, 17 A.R.S., and in the manner provided by

subsection (d), supra. See Comment to Rule 24.1; State v. Rose, 121 Ariz. 131, 589 P.2d 5 (1978). See also American Bar Association Standards Relating to Trial by Jury, § 5.7 (Approved Draft, 1968); State v. Landrum, 25 Ariz.App. 446, 544 P.2d 270 (1975). In the instant case, affidavits and testimony by the jurors were admissible to show specific instances of jury misconduct.

a. Considering evidence not admitted at the trial.

Prior to trial and again before deliberations, the jury had been admonished and instructed "you must determine the facts only from the evidence produced in court." During deliberations, one juror looked up Harris names in the Phoenix telephone directory. Juror Phyllis Clemmer testified:

"Q Mrs. Clemmer, tell us if you will in your own words as best you can about the phone book matter relating to, number one, the name Mark Harris, and, number two, Phoenix Tent and Awning?

"A Gail Peoples said during the deliberations, well, I wonder how many Mark Harrises there are in Phoenix, and I said, well, I have a Phoenix phone book at home, I will look it up for you. So I looked it up that night and in the morning I said that there are four Mark Harrises listed in the Phoenix phone book. This was a 1979 phone book. And Gail was so speculative about whether or not the bags had been made at Phoenix Tent and Awning, and I said, well, I lived there for an awful lot of years and I don't know of another tent and awning manufacturer in Phoenix, so they must have been made there.

So while I was looking in the phone book I looked under tent and awning and found several retail places -- several places that rented tarps and canvas products, but only one manufacturer which was a fact that I was already sure of in my mind; that is all I did.

"Q And did you relate something back to the jury at all one way or the other about the Phoenix Tent and Awning?

"A Just that was the only manufacturer listed."

Mark Harris was the name found on the taser gun and canvas bags receipts. Phoenix Tent and Awning, the business which allegedly made the canvas bags found with the victims, was the only ^{manufacturer} ~~retailer~~ of canvas bags in the Phoenix area. She reported her findings to the jury. Defendants contend that this evidence was not properly before the jury, was prejudicial, and mandated a new trial under Rule 24.1(c)(3)(i), Arizona Rules of Criminal Procedure, 17 A.R.S.

The information found in the Phoenix telephone book by Juror Clemmer clearly qualifies as evidence not properly admitted during the trial. Rule 24.1(c)(3)(i), Arizona Rules of Criminal Procedure, 17 A.R.S. Our Court of Appeals has stated:

"The jury may consider only matter that has been received in evidence and any breach of this principle should not be condoned if there is the slightest possibility that harm could have resulted." State v. Turrentine, 122 Ariz. 39, 41, 592 P.2d 1305, 1307 (App. 1979).

The question is whether the fact that this evidence was before the jury requires reversal. Not all extraneous information is so prejudicial as to require reversal. The standard enunciated by the Ninth Circuit is that the defendant is entitled to a new trial if it cannot be concluded beyond a reasonable doubt that the extrinsic evidence did not contribute to the verdict. United States v. Vasquez, 597 F.2d 192 (9th Cir. 1979); Gibson v. Clanon, 633 F.2d 851 (9th Cir. 1980) cert. denied 450 U.S. 1035, 101 S.Ct. 1749, 68 L.Ed.2d 231 (1981). We adopt the reasonable possibility standard applied by the Ninth Circuit as an appropriate balancing test and in harmony with the standards applied in other circuits. See, e.g., Bulgar v. McClay, 575 F.2d 407 (2nd Cir. 1978), cert. denied sub. nom. Ward v. Bulgar, 439 U.S. 915, 99 S.Ct. 290, 58 L.Ed.2d 263, "Significant possibility of prejudice"; Virgin Islands v. Gereau, 523 F.2d 140 (3rd Cir. 1975), cert. denied 424 U.S. 917, 96 S.Ct. 1119, 47 L.Ed.2d 323 (1976), "prima facie incompatible with the Sixth Amendment"; United States v. Marx, 485 F.2d 1179 (10th Cir. 1973), cert. denied 416 U.S.

986, 94 S.Ct. 2391, 40 L.Ed.2d 764 (1974), "slightest possibility that harm could have resulted"; *United States v. Thomas*, 463 F.2d 1061 (7th Cir. 1972) and *Osborne v. United States*, 351 F.2d 111 (8th Cir. 1965), "might have operated to the substantial injury of the defendant"; *Farese v. United States*, 428 F.2d 178 (5th Cir. 1970), "reasonable possibility that information affected the verdict."

The finding of four Mark Harrises in the Phoenix telephone book does not appear to have had any prejudicial impact on the minds of the jurors, and we can conclude beyond a reasonable doubt that information concerning Phoenix Tent and Awning did not contribute to the verdict. *Vasquez, supra*.

A more serious matter, however, concerns evidence of defendant's prior convictions. Prior to trial, the trial court ruled to exclude, as prejudicial, evidence of defendants' prior federal convictions. The defendants' federal convictions for robbery and kidnapping were based upon evidence leading up to the state prosecution for murder. Evidence of the prior convictions did not come in at trial, although there were references by both parties to prior proceedings related to the case. Nevertheless, evidence developed at the hearing on the motion for new trial indicated that some of the jurors found out that the defendants had been convicted in the prior proceedings and were currently serving sentences. Several jurors were called regarding this information. Juror Gail Lynn Peoples testified:

"Q You have provided an Affidavit to the Court detailing occurrences which you observed during the jury deliberations in that particular matter?

"A Yes, sir.

"Q Mrs. Peoples, without indicating in detail what you have already supplemented to the Court or submitted to the Court, during the course of the deliberations, were statements made concerning the prior conviction of Michael Poland and Patrick Poland?

"A Yes, they were.

"Q Do you recall when those statements were made?

"A They were made -- I do recall specifically that they were made on the first day of deliberation, which was Friday, I believe, and I am not sure about Saturday, but I know for sure on Friday.

"Q Drawing your attention to that Friday, which was the day after Thanksgiving, could you describe for the Court the context in which these discussions concerning or the mention of the prior conviction came up?

"A Okay, at that point the vote was ten to two --

* * * * *

"Q Describe for the Court the context in which the mention of the prior conviction first came up on Friday?

"A Exactly what was said, is that what you mean?

"Q Yes.

"A I am not sure who initiated the statement. I know that Mrs. Clemmer did say that it isn't as if they were going to go free, because they have already been sentenced to a hundred years.

"Q Did she say anything further along that line?

"A No, that is all I recall.

"Q Did this discussion occur early in the day or late in the day?

"A Late.

* * * * *

"Q When did the mention of the prior conviction come up again?

"A Okay. I don't remember exactly who said it or what exactly was said, but there were comments made about it. One of the jurors said if they were found guilty before, then the other jury must have had more evidence than we have.

"Q Do you recall on what day this discussion occurred?

"A I believe it was on Saturday."

And Orval Anderson testified:

"Q Mr. Anderson, during the course of the deliberations, did the subject of the prior conviction of the Poland brothers come up?

"A Yes, at one time it did.

"THE COURT: Did you say that you did not recall who made the statement -- do you have any recollection at all who may have made it?

"THE WITNESS: You mean the statement about the prior?

"THE COURT: Yes.

"THE WITNESS: No, your Honor, I can't remember who said -- the only reason I can remember it, they were trying to get me to change my decision and it had nothing to do with my decision, but I can't remember.

"THE COURT: Now, were you one of the jurors, Mr. Anderson, who in the selection process testified that you had some recollection of a prior proceeding?

"THE WITNESS: No."

Two other jurors, Green and Markides, testified that the defendants' prior convictions were discussed.

On the contrary, Juror Phyllis Clemmer testified:

"Q And were you present during the two days of deliberation, ma'am?

"A Yes.

"Q Were you present for the entire deliberative process?

"A Yes, I was.

"Q When you went into that jury room, did you know that there had been in fact another trial and that the defendants had in fact been convicted?

"A No, I did not.

"Q At any time during the two days, ma'am, at which you were in the jury room, did you ever overhear anyone else say that these defendants had been convicted in another trial?

"A No, I did not.

"Q And specifically, Mrs. Clemmer, did you ever, say, to yourself, Phyllis Clemmer ever say that they weren't going free because they had already served a hundred years in federal court?

"A No, I did not say that because I didn't know it."

Jurors Tackitt, Cutbirth, Herman, Wright, Robertson, and Lorencen also testified that the matter had never come up during juror deliberations. There were, then, 4 jurors who testified that mention of the defendants' prior convictions had been discussed during juror deliberations and 7 testified that no mention was made of the prior convictions. Defendants urge that the presence of this inadmissible evidence during deliberations requires a new trial and we agree.

Since the federal convictions were based on the same series of acts as were at issue in the state prosecution, evidence of the prior convictions is inherently prejudicial. Testimony of several of the jurors indicates that the information was mentioned in the jury room. The knowledge that another jury considered the same evidence against defendants and found them guilty was bound to have influence on the jury. We cannot conclude beyond a reasonable doubt that this evidence did not contribute to the verdict. Vasquez, supra. The matter will have to be reversed and remanded for a new trial.

AGGRAVATING CIRCUMSTANCES

In sentencing defendants, the trial judge found the following aggravating circumstance to exist:

"13-454(E)(6). The defendant committed the offense in an especially heinous, cruel, or depraved manner."

Finding no mitigating circumstances sufficiently substantial to

call for leniency, the trial court imposed the death penalty pursuant to A.R.S. § 13-454(D).

In interpreting the aggravating circumstance that the offense was committed in an especially heinous, cruel, or depraved manner, we have stated:

"* * * the cruelty referred to in the statute involved the pain and the mental and physical distress visited upon the victims. Heinous and depraved as used in the same statute meant the mental state and attitude of the perpetrator as reflected in his words and actions." State v. Clark, 126 Ariz. 428, 436, 616 P.2d 888, 896 (1980), cert. denied 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612.

We do not believe that the evidence so far produced in this case shows that the murders were cruel. We have interpreted "cruel" as "disposed to inflict pain esp. in a wanton, insensate or vindictive manner: sadistic." State v. Lujan, 124 Ariz. 365, 372, 604 P.2d 629, 636 (1979), quoting Webster's Third New International Dictionary. There was no evidence of suffering by the guards. The autopsy revealed no evidence that they had been bound or injured prior to being placed in the water, and there was no sign of a struggle. Cruelty has not been shown beyond a reasonable doubt. State v. Lujan, supra; State v. Ortiz, ___ Ariz. ___, 639 P.2d 1020 (1981); State v. Bishop, 127 Ariz. 531, 622 P.2d 478 (1980); State v. Knapp, 114 Ariz. 531, 562 P.2d 704 (1977), cert. denied 435 U.S. 908, 98 S.Ct. 1458, 55 L.Ed.2d 500 (1978).

Neither does the evidence support a finding that the murders were heinous or depraved. These terms were defined in State v. Lujan, supra:

"heinous: hatefully or shockingly evil;
grossly bad

* * * * *

"depraved: marked by debasement, corruption, perversion or deterioration." 124 Ariz. at 372, 604 P.2d at 636.

The issue focuses on the state of mind of the killer. *State v. Lujan*, supra. The difficulty in making this determination in the case at bar is that there is very little evidence in the record of the exact circumstances of the guards' deaths. Although defendants' state of mind may be inferred from their behavior at or near the time of the offense, *State v. Lujan*, supra, we know nothing of the circumstances under which the guards were held hostage.

The State must provide the existence of aggravating circumstances beyond a reasonable doubt. *State v. Jordan*, 126 Ariz. 283, 614 P.2d 825, cert. denied 449 U.S. 986, 101 S.Ct. 408, 66 L.Ed.2d 251 (1980). We do not believe it has been shown beyond a reasonable doubt that the murders were committed in an "especially heinous, cruel or depraved manner."

We do note, however, that the trial court mistook the law when it did not find that the defendants "committed the offense as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value." A.R.S. § 13-454(E)(5). In so holding, the trial judge stated:

"5. The court finds the aggravating circumstance in §13-454E(5) is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00.

"This, then, would be an aggravating circumstance."

It was not until after the trial in this case that we held, in *State v. Clark*, supra, that A.R.S. § 13-454(E)(5) was not limited to "murder for hire" situations, but may be found where any expectation of financial gain was a cause of the murder. Upon retrial, if the defendants are again convicted of first degree murder, the court may find the existence of

this aggravating circumstance.

Reversed and remanded for new trial pursuant to this opinion.

JAMES DUKE CAMERON, Justice

CONCURRING:

WILLIAM A. HOLOHAN, Chief Justice

FRANK X. GORDON, JR., Vice Chief Justice

JACK D. H. HAYS, Justice

STANLEY G. FELDMAN, Justice

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

APPENDIX IX

Notice of Intent to Seek the
Death Sentence and Sentencing
Memorandum
Dated December 7, 1982.

1 CHARLES R. HASTINGS
2 Yavapai County Attorney
3 Courthouse
4 Prescott, Arizona 86301
5 (602) 445-7450

RECEIVED
DEC 9 1982
ROYL EAT & PECHARICH

6 IN THE SUPERIOR COURT OF THE STATE OF ARIZONA
7 IN AND FOR THE COUNTY OF YAVAPAI

8 STATE OF ARIZONA,)	NO. 8850
9 Plaintiff,)	NOTICE OF INTENT TO
10 -vs-)	SEEK THE DEATH SENTENCE
11 MICHAEL KENT POLAND and)	AND SENTENCING
12 PATRICK GENE POLAND,)	MEMORANDUM
13 Defendants.)	(Assigned to the Hon.
)	Paul G. Rosenblatt)

14 Comes now the State of Arizona, by and through its
15 attorney undersigned, and hereby notifies the defendants that
16 it intends to seek the sentence of death for the charge of
17 murder, first degree. The reasons are set out in the attached
18 memorandum.

19 Respectfully submitted this 7 day of December, 1982.

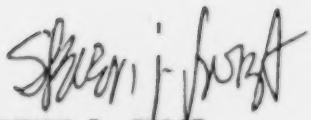
20 CHARLES R. HASTINGS
21 Yavapai County Attorney
22 *A. Melvin McDonald*
23 A. MELVIN McDONALD
24 Special Yavapai Deputy
25 County Attorney

26 *W. Ronald Jennings*
27 W. RONALD JENNINGS
28 Special Yavapai Deputy
County Attorney

RECEIVED

DEC 13 1982

ROYL EAT & PECHARICH


STEVEN J. TWIST
Special Yavapai Deputy
County Attorney

MEMORANDUM

Ariz.Rev.Stat.Ann. § 13-454(D) provides that the trial court shall impose the sentence of death if it finds the existence of one or more aggravating circumstances set out in § 13-454(E) and, after considering anything the defendant offers in mitigation, it finds no mitigation sufficiently substantial to call for leniency.

A. Prior Conviction of Patrick Poland

The aggravating circumstance set out in Ariz.Rev.Stat.Ann. § 13-453(E)(2) provides:

2. The defendant was previously convicted of a felony in the United States involving the use or threat of violence on another person.

Defendant PATRICK POLAND was convicted of Bank Robbery and Use of a Dangerous Weapon in Bank Robbery in violation of Title 18, United States Code, Sections 2113(a) and 2113(d) in United States District Court on October 5, 1981. He was sentenced by Judge Hardy to fifteen years imprisonment. The indictment alleged that PATRICK POLAND

. . . willfully and unlawfully, by force, violence and intimidation, did take from the person and presence of Alison Elizabeth Waite and Patricia Griffin, approximately One Thousand Three Hundred Seventy Four Dollars (\$1,374.00) in money belonging to and in the care, custody, control, management and possession of the Greater Arizona Savings and Loan Association, 2335 E. Camelback Road, Phoenix, Arizona, the

1 deposits of which were insured by the
2 Federal Savings and Loan Insurance
3 Corporation. PATRICK GENE POLAND, in
4 committing this offense, did assault
5 Alison Elizabeth Waite and Patricia
6 Griffin, and put their lives in
7 jeopardy by means and use of a dangerous
8 weapon, that is, a handgun.

9 The crime of use of a dangerous weapon in Bank Robbery clearly
10 involves the "use or threat of violence against another person"
11 as required Ariz.Rev.Stat. Ann. § 13-453(E)(2). Moreover, the
12 facts alleged in the indictment against PATRICK POLAND which
13 were proved by the Government at trial specifically indicate
14 the threat or use of violence during the crime. Accordingly,
15 PATRICK POLAND's prior conviction is an aggravating
16 circumstance which must be taken into account in deciding
17 whether to impose the death penalty against PATRICK POLAND.
18 See State v. Tison, 129 Ariz. 526, 544, 633 P.2d 335, 353
19 (1981); State v Jordan, 126 Ariz. 283, 287, 614 P.2d 825, 829
20 (1980); State v. Steelman, 126 Ariz. 19, 24, 612 P.2d 475, 489
21 (1980); State v. Evans, 120 Ariz. 158, 162, 584 P.2d 1149, 1153
22 (1978).

23 B. Murder for Pecuniary Gain

24 Ariz.Rev.Stat. Ann. § 13-453(E)(5) provides for the
25 following aggravating circumstance:

26 5. The defendant committed the offense
27 as consideration for the receipt, or in
28 expectation of the receipt, of anything
of pecuniary value.

In State v. Clark, 126 Ariz. 428, 616 P.2d 888, cert.
denied 101 S.Ct. 796 (1980), the Arizona Supreme Court clearly
stated that this section making pecuniary value an aggravating
factor was not limited to a hired gun situation but extended to

1 a case in which the defendant killed the victims and then stole
2 their credit cards, money, diamond rings and automobile.

3 It is submitted that MICHAEL and PATRICK POLAND are
4 both subject to this aggravation factor, in the instant case.
5 The conduct by defendants was even more egregious than that in
6 Clark. MICHAEL and PATRICK POLAND meticulously planned and
7 carried out the robbery of the Purolator Van, which netted the
8 POLANDS a sum in excess of \$250,000. The evidence showed that
9 the POLANDS surveilled the route the Purolator Van took as it
10 made its regular run to Northern Arizona. They purchased
11 specially made bags -- six feet long and three feet in
12 circumference -- before the robbery of the van. It is surely
13 more than mere coincidence that both guards were under 6 feet
14 tall -- a circumstance the POLANDS could observe during their
15 meticulous surveillance of the van. Those bags were used to
16 drown the two Purolator Guards -- a clear indication that the
17 POLANDS not only planned the robbery, but carefully planned the
18 murder of the two guards as well. Thus, the murder of Russell
19 Dempsey and Cecil Newkirk was not merely incidental to the
20 robbery of the purolator van, but was an integral part of the
21 POLAND's plan to steal the money. Surely, this is precisely
22 the sort of circumstance that the pecuniary gain aggravating
23 factor is intended to encompass. Thus, murder for pecuniary
24 gain is an aggravating factor in both MICHAEL POLAND's and
25 PATRICK POLAND's case. State v. Clark, supra, State v.
26 Poland, ____ Ariz. ____, 645 P.2d 784, 800 (1982).
27 C. The Heinous and Depraved manner in which the Guards were
28 murdered.

1 Ariz.Rev.Stat.Ann. § 13-453(E)(6) provides for yet
2 another aggravating factor:

3 6. The defendant committed the offense
4 in an especially heinous, cruel or
depraved manner.

5 The presence of any one of these three elements is sufficient
6 to show the existence of this circumstance. State v. Vickers,
7 129 Ariz. 506, 515, 633 P.2d 315, 324 (1981); State v. Clark,
8 126 Ariz. 428, 436, 616 P.2d 888, 896 (1980).

9 "Cruelty" involves pain and mental and physical
10 distress of the victims; "heinous" and "depraved" refer to the
11 mental state of the killer as shown by his words and actions.
12 State v. Clark, supra, State v. Tison, supra. In State v.
13 Lujan, 124 Ariz. 365, 372, 604 P.2d 629, 636 (1979), the Court
14 defined "heinous" as "hatefully or shockingly evil: grossly
15 bad" and "depraved" as "marked by debasement, corruption,
16 perversion or deterioration."

17 It is submitted that MICHAEL POLAND and PATRICK POLAND
18 murdered the two guards in a heinous and depraved manner.
19 Witness Sheldon Green, the medical examiner, testified that
20 victim Cecil Newkirk's cause of death was drowning and the
21 probable cause of victim Russell Dempsey's death was drowning.
22 The only reason Dr. Green qualified his opinion in the second
23 case was because Dempsey had severe hardening of the coronary
24 arteries and that one artery showed evidence of having been
25 partially blocked by a clot. The bodies were found floating
26 near the Nevada shore of Lake Mead, partially encased in canvas
27 bags; bags which were earlier purchased by the defendants.
28 Thus, the circumstances leading up to the guards' deaths can be

1 deduced. The defendants placed the guards in canvas bags and
2 dumped the bags into Lake Mead. The helpless victims were left
3 to drown. Surely the fact that the bags were purchased with
4 the intent to put the guards in them substantially before the
5 actual murder indicates a depraved state of mind on the part of
6 defendants. Moreover, drowning the victims as opposed to a
7 quick means of death such as shooting, indicates the coldness
8 of heart and lack of conscience that is the hallmark of a
9 heinous mind. See Burger v. State, 245 Ga. 458, 265 S.E.2d 796
10 (1980).

11 Moreover, the method of death inflicted upon Russell
12 Dempsey and Cecil Newkirk was cruel. Witness James Stewart,
13 diving officer for the Scripps Institute of Oceanography,
14 described what it was like to drown:

15 "Well, if you are a water person, they
16 are just scary as the devil. Your lungs
17 feel like they are going to burst. You
go into an involuntary respiratory
spasm. You try to suck air."

18 The defense may attempt to argue that there is no
19 evidence that the victims apprehended any imminent death and
20 therefore the killing was not cruel. This argument
21 conveniently neglects the fact that although the van was
22 stopped at approximately 9:00 a.m. on May 24, 1977, the guards
23 were not murdered until sometime during the morning of May 25.
24 Thus, a period of nearly 24 hours elapsed from the time the
25 guards were first robbed -- a period during which Dempsey and
26 Newkirk were justifiably in fear for their lives. Moreover,
27 the defense stipulated that the blood found on the floor of the
28 Purolater Van was the same type as that of one of the guards.

1 The inference is clear that guard, Russell Dempsey, suffered
2 violence substantially before he was drowned by the
3 defendants. Surely the physical pain suffered by Dempsey and
4 the mental apprehension of the guards during the robbery and
5 the time that elapsed before they were dumped in the lake that
6 their lives were indeed in jeopardy indicates a cruel manner of
7 death. Burger v. State, supra, State v. Tison, supra.

8 Conclusion

9 The state has shown three aggravating factors for
10 defendant PATRICK POLAND and two aggravating factors for
11 defendant MICHAEL POLAND. No mitigation can outweigh any of
12 these aggravating circumstances, and the law says the death
13 penalty is mandatory, not discretionary. State v. Blazek, 114
14 Ariz. 199, 205-06, 560 P.2d 54, 60-61 (1977). It is
15 respectfully submitted that the penalty of death for MICHAEL
16 POLAND and PATRICK POLAND is appropriate in this case.

17 Respectfully submitted this 7 day of December, 1982.

18 CHARLES R. HASTINGS
19 Yavapai County Attorney

20 *A. Melvin McDonald*
21 A. MELVIN McDONALD
22 Special Yavapai Deputy
23 County Attorney

24 *W. Ronald Jennings*
25 W. RONALD JENNINGS
26 Special Yavapai Deputy
27 County Attorney
28

Steven J. Twist

STEVEN J. TWIST
Special Yavapai Deputy
County Attorney

Copy of the foregoing mailed
this 7 day of December, 1982,
to:

Hon. Paul G. Rosenblatt
Presiding Judge, District 1
Yavapai County Courthouse
Prescott, Arizona 86301

Charles R. Hastings
Yavapai County Attorney
Courthouse
Prescott, Arizona 86301

William Lee Eaton
P. O. Box 1549
Prescott, Arizona 86302

John C. Stallings
224 W. Gurley, Suite 204
Prescott, Arizona 86301

A. Melvin McDaniel

SJT:cf/2296E

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

APPENDIX X

Defendant's Response to
Sentencing Memorandum
Dated January 15, 1983.

LAW OFFICES OF
BOYLE, EATON & PECHARICH
SECOND FLOOR PLAZA BUILDING
100 EAST UNION STREET
P. O. BOX 1548
PRESCOTT, ARIZONA 86302
(602) 445-0122

Attorneys for Defendants

IN THE SUPERIOR COURT OF THE STATE OF ARIZONA

IN AND FOR THE COUNTY OF YAVAPAI

STATE OF ARIZONA,

Plaintiff,

vs.

MICHAEL KENT POLAND, and
PATRICK GENE POLAND,

Defendants.

No. 8850

DEFENDANTS' RESPONSE
TO SENTENCING
MEMORANDUM

The State of Arizona has devoted the major portion of its Sentencing Memorandum to the argument of whether or not the aggravating circumstance set forth in A.R.S. Section 13-45 (E)(6) is present in this case. The State contends that the previous finding by the Arizona Supreme Court in State vs. Poland, 645 P. 2d 784 (1982) that there was insufficient evidence to support such a finding in the previous case does not preclude this Court from reviewing the facts once again after entering such finding. It is the Defendants contention that such an approach is barred by the holding of the United States Supreme Court in Bullington vs. Missouri, 451 U.S. 430, 68 L.Ed 2d 270 101 S. Ct. 1852 (1981). Furthermore, as the Defendants have argued in their original Sentencing Memorandum, it is clear that

1 there was no additional evidence produced at trial with respect
2 to the time period referred to by the Supreme Court that would
3 enable this Court to conclude beyond a reasonable doubt that the
4 murders were committed in an especially heinous, cruel and
5 depraved manner. The State sidesteps this argument by presenting
6 to the Court what it perceives to be new evidence in this case.
7 In analyzing that evidence it is clear that the only material
8 produced at the second trial which was not shown at the first
9 trial was the evidence concerning the watch. The State argues
10 that somehow this is compelling evidence concerning cruelty,
11 heinousness or depravity, when in fact, nothing could be further
12 from the truth. The prosecution also contends that testimony by
13 Mr. Stewart is compelling evidence on the issue of cruelty.
14 However, it must be borne in mind that the State has previously
15 committed itself to the position that the guards were drugged at
16 the time they were put in Lake Mead. The evidence of Mr. Stewart
17 applies only to an individual who would have been conscious at
18 the time that he was drowned and has no relevance to the
19 situation where the guards were unconscious at the time they were
20 placed in Lake Mead. Furthermore, a reading of Mr. Stewart's
21 testimony does not leave one with the overall feeling that he was
22 meaning to indicate in any respect that he was of the opinion
23 that the guards suffered in the manner and mode of their deaths.
24 The burden clearly is upon the State of Arizona to prove beyond
25 reasonable doubt the existence of this aggravating circumstance
26

1 Speculations concerning the mode and manner of the deaths are not
2 sufficient as the Arizona Supreme Court has already pointed out
3 One need only look at the evidence to see that it is totally
4 lacking as to the conditions surrounding the death of either
5 guard in this case. Therefore, the argument of the State with
6 respect to the cruelty aspects of this aggravating circumstance
7 fails on a wholesale basis. What, in fact, the State of Arizona
8 attempts to do with this issue as well as the other issue
9 involved in this aggravating circumstance is to elevate mere
10 speculation to the level of sound fact. This obviously the
11 cannot do under the present status of the law.

12 With respect to the State's argument that mental cruelty
13 has been demonstrated beyond a reasonable doubt, one must totally
14 disregard specious arguments made that Mike Poland's testimony
15 somehow describes the last twenty-four hours of the captivity
16 the guards. On appeal, the Supreme Court was solely unaffected
17 arguments that called for speculation with respect to the manner
18 and mode of the deaths of the guards. Nothing can change the
19 Supreme Court's pronouncement that the difficulty in making the
20 determination concerning the aggravating circumstance set forth
21 in A.R.S. Section 13-454(E)(6) in this case is that there is very
22 little evidence in the record of the exact circumstances of the
23 guard's deaths. On the issue of heinousness or depravity, the
24 Supreme Court noted that although the Defendants' state of mind
25 may be inferred at or near the time of the event, we know nothing

1 of the circumstances under which the guards were held hostage
2 Similarly, the Court found that cruelty had not been shown beyond
3 a reasonable doubt because there was no evidence of suffering to
4 the guards. The autopsy revealed no evidence that they had been
5 bound or injured prior to being placed in the water and there was
6 no sign of a struggle. The Court obviously was addressing the
7 problem that continues to exist in this case concerning the
8 manner in which the guards were held in captivity and the
9 ultimate circumstances concerning their demise, questions which
10 cannot be answered by the rampant speculation engaged in by the
11 prosecution. Were the guards drugged during the entire period of
12 their captivity? If they were, were they even aware of their
13 plight? Furthermore, does the diagnosis of exclusion given by
14 Dr. Green do anything to describe the actualities of the
15 drownings or does it instead raise questions of whether or not
16 at least one of those guards had died of a heart attack prior to
17 being put in Lake Mead? It is impossible indeed to describe the
18 mental horror of the last twenty-four hours of captivity because
19 we know nothing about what occurred during this period of time.
20 The State submits only gross speculation with respect to how the
21 guards were treated or whether or not in fact they were even
22 conscious of their captivity during this period of time. One
23 cannot conceivably arrive at the conclusion that the State of
24 Arizona has proven beyond a reasonable doubt that, in fact, the
25 last twenty-four hours of the guards' lives was the mental horror

1 which it has depicted it as being. Once again, this Court must
2 bear in mind that the Supreme Court alluded to the fact that
3 there was very little evidence in the record of how the guards
4 were held or the circumstances of their captivity that would
5 justify any conclusions concerning either cruelty or depravity.
6 Nothing has been produced by the State to show any of the
7 activities occurring between the kidnapping on 1-17 and the
8 events occurring at Lake Mead. The State seeks to suggest by
9 innuendo that some violence may have occurred because of the
10 existence of bloodstains in the back of the Purolator van. Their
11 suggestion is inconsistent with the testimony of the coroner in
12 this case who indicated that the guards had not been injured
13 prior to being placed in the water and that, in fact, any injury
14 which he saw at the time that the bodies were autopsied was the
15 result of post mortem occurrences. In short, we do not know how
16 the blood got there or when it got there or whose blood it is.
17 We do know, however, from Dr. Green, that neither of the guards
18 suffered any serious injury prior to being placed in the water.
19 Furthermore, the autopsy fails to reveal any evidence that the
20 guards had been bound or that there had been any kind of
21 struggle. These are the facts that we are limited to considering
22 in this case. These are the facts that the State consistently
23 chooses to disregard in favor of their version of how the events
24 must have occurred. Clearly, the State's version does not
25 measure up to proof beyond a reasonable doubt.

1 The State of Arizona places undue emphasis on the
2 testimony of Michael Poland at the trial and tries to draw
3 direct relationship between that testimony and what, in fact,
4 occurred during the period of the guards' captivity. The
5 Defendants really need not point out that no competent
6 psychiatric or other expert testimony has been offered to
7 buttress the State's conclusion that Michael Poland was in fact
8 describing the guards' last twenty-four hours. The unrefuted
9 testimony was that Michael was taken somewhere by someone shortly
10 before he was to appear before the Federal Grand Jury. Specula-
11 tion concerning that event as it relates to the last twenty-four
12 hours of the guards' captivity is really beyond reason and the
13 purpose is unfathomable other than to convince this Court by
14 pleas of passion that those are the real facts to be considered.
15 However, this Court should not be lured into the position of
16 elevating rampant speculation into facts which could sustain the
17 finding of the aggravating circumstance as advocated by the
18 prosecution.

19 Continuing on in the same vein, the prosecution argues
20 that the police manuals are demonstrative evidence of the scheme
21 involved in this particular case. Their "blueprint" to the crime
22 is both inadmissible and irrelevant to this Court's determina-
23 tion. As the defense has repeatedly pointed out, the prosecution
24 is bound by the rules of evidence in this case. With respect to
25 these manuals, they have totally been unable to provide
26

1 foundation which would warrant their admission into evidence
2 Furthermore, this evidence is not even relevant evidence unde
3 Rule 401 and certainly under the provisions of Rule 403, would b
4 totally inadmissable because of confusion or prejudice. Th
5 prosecution advances certain innuendos that are not appropriat
6 to this investigation and certainly do not have any place her
7 because of the rank inadmissability of the manuals and th
8 speculation attendant to their use for the purpose which th
9 prosecution advances.

10 Furthermore, the effects of these crimes on the spouse
11 of the guards is not a relevant consideration here. The defens
12 contends that these matters are not within the definition c
13 A.R.S. Section 13-454(E)(6) handed down by the Arizona Suprem
14 Court and is nothing but a bald-faced appeal to passion in a
15 attempt to prejudice this tribunal against the Defendants an
16 thus deprive them of a fair hearing at this juncture of the case
17 In the same vein are the final arguments of the memorandum whic
18 attempt by loose logic to put forth the necessity for the deat
19 penalty in this particular case. As this Court is aware, it i
20 legally mandated to assess the proper sentence to be impose
21 taking into consideration all of the admissable evidence an
22 determining whether or not the State has met its burden o
23 proving the existence of certain aggravating circumstances beyon
24 a reasonable doubt. Passion and appeals to prejudice have
25 part in this determination. There are no new facts in this ca
26

1 that would have any impact upon the Supreme Court's prior
2 pronouncements with respect to the existence of the aggravating
3 circumstance set forth in A.R.S. Section 13-454 (E)(6). The
4 prosecution has always known of the facts which were provable
5 All they have done here is to supply additional speculation b
6 which they seek to elevate to fact their misplaced conclusion
7 concerning the evidence.

8 The arguments which the prosecution makes with respect
9 to the still remaining aggravating circumstances have been
10 adequately dealt with in the Defendants sentencing memorandum
11 filed on January 19, 1983. Nothing that the prosecution has
12 presented here would in any way vary the arguments previously
13 made and the Defendants will rely upon those arguments in Court
14 It is their contention that these aggravating circumstances have
15 not been proven beyond a reasonable doubt.

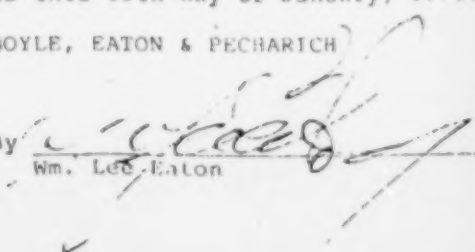
16 In conclusion, the Defendants contend that the arguments
17 advanced here are the same ones that have been previously made
18 before this Court and before the Supreme Court of Arizona. The
19 difference in the presentation of the prosecution does not lie
20 the facts proven at trial, but in the attempt by speculation
21 innuendo and suggestion to convert what, in fact, are not facts
22 in this case into something more than what they really are.
23 Proof beyond a reasonable doubt does not mean in this case that
24 the prosecution can willy-nilly disregard the actual facts
25 demonstrated in favor of some gross speculations concerning what

1 they wish the facts to be.

2 Finally, the prosecution has argued that the mitigating
3 facts in this case are not sufficiently substantial to call for
4 leniency. It would appear that the State is contending that
5 because none of the statutorily referenced mitigating circumstan-
6 ces have been found, that no other mitigating circumstances arise
7 to the level of calling for leniency. What, in fact, the State
8 of Arizona appears to be doing is calling for this Court to
9 disregard the mandate of Lockett vs. Ohio, 438 U.S. 586 (1978
10 and Eddings vs. Oklahoma, ____ U. S. ____, 71 L.Ed 2nd 1 (1982)
11 in which the Supreme Court of the United States made it clear
12 that all mitigating circumstances are to be given serious
13 consideration by the trial court in a case involving the
14 potential for the death sentence. The prosecution simply choose
15 to ignore the existence of mitigating circumstances which are
16 amply demonstrated by the record by choosing to couch the
17 evidence in terms of "good old boy" evidence and testimony. Such
18 a cynical view of the evidence must be and should be totally
19 disregarded by this Court. The Defendants have amply shown
20 mitigating circumstances do exist in this case which demand that
21 leniency be afforded to the Defendants at the time of sentencing

22 RESPECTFULLY SUBMITTED this 15th day of January, 1983.

23 BOYLE, EATON & PECHARICH

24
25 By 
Wm. Lee Eaton

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26

LAW OFFICES OF JOHN STALLINGS

By John C. Stallings
John C. Stallings

Copy of the foregoing mailed,
postage prepaid, this 25th day
of January, 1983, to:

A. Melvin McDonald
United States Attorney
4000 United States Courthouse
Phoenix, Arizona 85025

By Wm. Lee Eaton
Wm. Lee Eaton

LAW OFFICES OF
BOYLE, EATON
& PECHARICH
4127 W. PLAZA BUILDING
22 EAST UNION STREET
DST OFFICE BOX 1549
PHOENIX, AZ 85022
TELEPHONE 445-0122

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

APPENDIX XI

Special Verdict dated
February 3, 1983.

IN THE SUPERIOR COURT OF THE STATE OF ARIZONA

IN AND FOR THE COUNTY OF YAVAPAI

FILED

9:00 O'Clock, A

FEB 3 1985

BARBARA BOYLE, Clerk
By *Valerie M. Dill*
Deputy

STATE OF ARIZONA,)
)
Plaintiff,)
)
vs.)
)
MICHAEL KENT POLAND and)
PATRICK GENE POLAND,)
)
Defendants.)
_____)

NO. 8850

SPECIAL VERDICT

Pursuant to the requirements of A.R.S. §13-454 C; Lockett v. Ohio, 438 U.S. 586, 98 S.Ct. 2955, 57 L.Ed 2d 973 (1978); and State v. Watson, 120 Ariz. 441, 586 P 2d 1253 (1978), this court returns this special verdict of its findings of the existence or non-existence of aggravating circumstances set forth in §13-454E and of any mitigating circumstances.

AGGRAVATING CIRCUMSTANCES

The only information which has been considered by this court relevant to any of the aggravating circumstances set forth in §13-454E is that received in evidence at the trial and at the sentencing hearing.

A. The court considers the statutory circumstances as follows:

1. The court finds the aggravating circumstances as follows:

1. The court finds the aggravating circumstance in §13-454 E(1) is not present.

2. The court finds the aggravating circumstance in §13-454 E(2) is not present as to Michael Poland, but is present as to Patrick Poland in that on October 5, 1981, Patrick Poland was convicted of bank robbery and use of a dangerous weapon in a bank robbery in violation of Title 18, U.S.C. §2113(a) and (d), in U.S. District Court, affirmed by the 9th Circuit Court of Appeals on August 16, 1982. Certiorari denied by the U.S. Supreme Court on November 23, 1982

3. The court finds the aggravating circumstance in §13-454 E(3) is present. The evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00. The murders were not committed incidentally or accidentally to the robbery, on the contrary they were intentionally and premeditatedly committed solely for a financial motive.

4. The court finds the aggravating circumstance in §13-454 E(4) is present. In making this finding, the court is not unmindful of State v. Poland ___ Ariz. ___ 645 P2d, 784, and reviewed that case in light of the evidence in this trial and the other Supreme Court guidelines.

The cause of death was by drowning. The victims were kidnapped on I-17 in southern Yavapai County, they were transported to Lake Mead. Some 24 hours later they were placed in canvas bags, taken onto the lake and dropped in the water to drown. The culmination of months of planning. The executed plan shows the state of mind of the defendants and that such

killings were especially heinous and depraved.

In applying this provision, the Arizona Supreme Court has said that these words have meanings that are clear. The evidence shows that the killings were carefully planned and cold blooded. This, by itself, is not sufficient, however, as pointed out in *St. v. Madsen* 125 Ariz. 346, 609 P2d, 1046.

But the facts show the murders were shockingly evil, insensate, and marked by debasement.

The Defendants argue that the State has not shown the victims suffered pain, or that they were not drugged. The killings were cruel whether the victims were drugged or not.

The guidelines of *State v. Knapp* 114 Az. 531, 562 P2d 704 and *State v. Gretzler*, No. 3750-2 (Jan. 6, 1983) closely reach this case. In *Knapp* the victims were incinerated. The autopsy showed there was carbon monoxide poisoning as well, a painless death. In *Gretzler* there was mental distress visited upon the victims. In the case sub judice, the nature of the killing itself is sufficient to set it aside from the norm. Holding the victims captives, placing them in specially made canvas bags and dropping them to a slow, painful and terrifying death is grossly bad, sadistic and perverse.

MITIGATING CIRCUMSTANCES

All information relevant to any mitigating circumstances, including, but not limited to, those set forth in §13-454 (F), contained in the presentence report, presented at the sentencing

hearing, and received in evidence at the trial of the defendants has been considered by the court.

A. The court considers the mitigating circumstances as follows:

1. The defendants' capacity to appreciate the wrongfulness of their conduct or to conform to the requirements of law was not significantly impaired. The mitigating circumstance of §13-454(F)(1) is not present.

2. The defendants were not under unusual and substantial duress. The mitigating circumstance of §13-454(F)(2) is not present.

3. There is no evidence or information of any kind to permit the court to find the defendants' participation in the murders was relatively minor. The mitigating circumstance of §13-454(F)(3) is not present.

4. There is no evidence or information of any kind to permit this court to find that the defendants could not reasonably foresee that their conduct in the course of the commission of the offense for which they were convicted would cause or would create a grave risk of causing death to another person.

The mitigating circumstance of §13-454(F)(4) is not present.

5. The defendants' previous reputation for good character is not a mitigating circumstance for the reputations were false. Patrick Poland was convicted of the crime of bank

robbery with a dangerous weapon committed on July 30, 1976. Both Michael Poland and Patrick Poland were in debt and conducted their business affairs in a manner to deceive. They admit to crime.

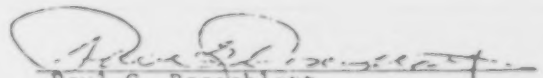
6. The close family ties that exist between the defendants, their families, and their children is a mitigating circumstance.

7. The court has considered the ages of the defendants. Michael Poland is 42 years old. Patrick Poland is 32 years old.

8. The defendants have conducted themselves as model prisoners during the pendency of these proceedings, trials and appeals; such conduct is a mitigating circumstance.

All references in this Special Verdict to the Arizona Revised Statutes are to the sections of those statutes as they were numbered at the time of the commission of the offense and prior to October 1, 1978.

DATED this 3rd day of February, 1983.


Paul G. Rosenblatt
Presiding Judge-Division One

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

APPENDIX XII

Judgment and Sentencing dated
February 3, 1983.

Eaton IN THE SUPERIOR COURT OF THE STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

DIVISION <u>1</u>	FILED	BARBARA BOYLE, Clerk of the Superior Court
HON. <u>PAUL G. ROSENBLATT</u> (judge)	O'CLOCK <u>By</u>	<u>MDOLORES M. PHILLIPS</u> (Deputy)
CASE NUMBER: <u>8850</u>	FEB 3 1983	DATE: February 3, 1983
TITLE:	By <u>BARBARA BOYLE, Clerk</u>	COUNSEL
STATE OF ARIZONA	Deputy	UNITED STATES ATTORNEY FOR DISTRICT OF ARIZONA: A. Melvin McDonald, Jr., Special Prosecutor and W. Ronald Jennings, ATTORNEY GENERAL, Steven J. Twist, Chief YAVAPAI COUNTY ATTORNEY Assistant
(Plaintiff)		
vs.		
MICHAEL KENT POLAND		WM. LEE EATON
(Defendant)		(For Defendant)
HEARING ON:	NATURE OF PROCEEDINGS	
JUDGMENT AND SENTENCING		

Time for passing Sentence having been set and coming on regularly this date, the Defendant is brought into court by the Sheriff; Wm. Lee Eaton, his counsel, being present; the Plaintiff appearing by and through A. Melvin McDonald, Jr. and W. Ronald Jennings, United States Attorneys for District Of Arizona and Steven J. Twist, Chief Assistant Attorney General. David W. Lundy, Court Reporter, reports the proceedings.

Comes now counsel McDonald for Plaintiff and requests the Court rule on the admission of Plaintiff's exhibit 1 previously taken under advisement at the Sentencing Hearing on January 11, 1983, prior to the Sentencing; counsel for Defendants objecting thereto and it is Ordered Plaintiff's exhibit 1 is admitted into evidence over said objections.

Thereupon, the Defendant, standing in court, the following Judgment and Imposition Of Sentence are pronounced and entered in the record, to-wit:

An Indictment having been returned by the Grand Jury of Yavapai County, Arizona, on April 26, 1979, charging the Defendant with the crimes of Count I, Murder of Russell Dempsey in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended; and Count II, Murder of Cecil Newkirk in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended, Felonies, to which Indictment, the Defendant entered pleas of not guilty at Arraignment on May 8, 1979, and having put himself upon the country, and by that country, to-wit: by the verdict of twelve (12) good and lawful men and women, the Defendant was found guilty of the crime of Murder of Cecil Newkirk and further was found guilty of the crime of Murder of Russell Dempsey on November 18, 1982. **RECEIVED**
BOYLE, Clerk

Comes now counsel for Defendant and makes statement to the Court on behalf of the Defendant.

HEARING ON:

NATURE OF PROCEEDINGS

JUDGMENT AND SENTENCING

No legal cause appearing to the Court why Judgment and Sentence should not now be pronounced, and by reason of the Verdict of the Jury, it is the Judgment of this Court that you, Michael Kent Poland, are guilty of the crime as charged in Count I of the Murder of Russell Dempsey on or about May 24, 1977, in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended; and further you are guilty of the crime as charged in Count II of the Murder of Cecil Newkirk on or about May 24, 1977, in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended, Felonies.

Comes now the Court and states the Aggravating and Mitigating Circumstances are as set forth in the Special Verdict.

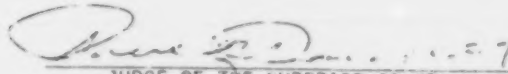
Thereafter, the Court finds, pursuant to the provisions of A.R.S. 13-453(A) and 13-454(E), that two (2) of the Aggravating Circumstances exist as to the Defendant, Michael Kent Poland, and that there are no Mitigating Circumstances sufficiently substantial to call for leniency.

Therefore, as punishment for these crimes, it is Ordered that you, Michael Kent Poland, be sentenced to death afflicted by administering lethal gas. The execution shall take place within the limits of the State Prison at a time fixed by the Supreme Court if this conviction and sentence is affirmed.

The Clerk is Ordered to file a Notice Of Appeal from the Judgment and Sentence.

Further Ordered the Defendant is remanded to the custody of the Sheriff for transportation to the Arizona State Department Of Corrections.

DONE IN OPEN COURT THIS 3rd DAY OF FEBRUARY, 1983.


JUDGE OF THE SUPERIOR COURT
DIVISION I

EDITOR'S NOTE

THE FOLLOWING PAGES WERE POOR HARD COPY
AT THE TIME OF FILMING. IF AND WHEN A
BETTER COPY CAN BE OBTAINED, A NEW FICHE
WILL BE ISSUED.

ORIGINAL

Supreme Court, U.S.
FILED
AUG 8 1985
JOSEPH F. SPANOL, JR. CLERK

NO. 85-5024

IN THE SUPREME COURT OF THE UNITED STATES
October Term, 1985

MICHAEL KENT POLAND,

Petitioner,

-VS-

STATE OF ARIZONA,

Respondent.

ON WRIT OF CERTIORARI TO THE ARIZONA SUPREME COURT

RESPONSE TO PETITION FOR
WRIT OF CERTIORARI

ROBERT K. CORBIN
Attorney General of
the State of Arizona

WILLIAM J. SCHAFER III
Chief Counsel
Criminal Division

GERALD R. GRANT
Assistant Attorney General
Department of Law
1275 W. Washington, 1st Floor
Phoenix, Arizona 85007
Telephone: (602)255-4686

Attorneys for RESPONDENT

QUESTION PRESENTED FOR REVIEW

Where an appellate court, after reversing petitioner's convictions, found that the evidence did not support the one aggravating circumstance found by the trial court, does the double jeopardy clause prohibit reimposition of the death penalty following petitioner's conviction upon a retrial?

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

TABLE OF CONTENTS

	<u>Page</u>
QUESTION PRESENTED FOR REVIEW	i
TABLE OF CASES AND AUTHORITIES	iii
STATEMENT OF THE CASE	1
ARGUMENT	
PETITIONER HAS NEVER BEEN ACQUITTED OF THE DEATH PENALTY. THEREFORE, THE DOUBLE JEOPARDY CLAUSE DOES NOT BAR HIS PRESENT DEATH SENTENCE.	7
CONCLUSION	11

TABLE OF CASES AND AUTHORITIES

<u>Case</u>	<u>Page</u>
Arizona v. Rumsey U.S. 104 S.Ct. 2305 81 L.Ed.2d 164 (1984)	8,9
Bullington v. Missouri 451 U.S. 430 101 S.Ct. 1852 68 L.Ed.2d 270 (1981)	8,9
Burks v. United States 437 U.S. 1 98 S.Ct. 2141 57 L.Ed.2d 1 (1981)	8
Green v. Zant 738 F.2d 1529 (11th Cir. 1984)	9
Hopkins v. State 664 P.2d 43 (Wyo. 1983)	9
Illinois v. Vitale 447 U.S. 410 100 S.Ct. 2260 65 L.Ed.2d 228 (1980)	7
Justices of Boston Municipal Court v. Lydon U.S. 104 S.Ct. 1805 80 L.Ed.2d 311 (1984)	9
Knapp v. Cardwell 667 F.2d 1253 (9th Cir. 1982)	9
Spaziano v. Florida U.S. 104 S.Ct. 3154 82 L.Ed.2d 340 (1984)	10
Spaziano v. State 443 So.2d 508 (Fla. 1983)	10
State v. Gretzler 135 Ariz. 42 659 P.2d 1 (1983)	10
State v. Poland Ariz. 698 P.2d 183 (1985)	7
State v. Poland 132 Ariz. 269 645 P.2d 784 (1982)	2,8

1	State v. Richmond	
	114 Ariz. 186	
2	560 P.2d 41 (1976)	8
3	United States v. Ball	
	163 U.S. 662	
4	16 S.Ct. 1192	
	41 L.Ed. 300 (1896)	7
5		
	Zant v. Redd	
6	249 Ga. 211	
	290 S.E.2d 36 (1982)	10
7		

AUTHORITIES

9	Ariz.Rev.Stat.Ann.	
	§ 13-451	1
10	§ 13-452	1
	§ 13-453	1
11	§ 13-454	1
	§ 13-454(E)(5)	1
12	§ 13-454(E)(6)	1,3
13		
	28 U.S.C.	
14	§ 1257(3)	7
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		
26		
27		
28		
29		
30		
31		
32		

[illegible]

2
3
4
5
6
7
8

9
10
11
12
13
14
15
16
17
18

19
20
21
22

24

25
26

27

30

31

1 southern Yavapai County, they were
2 transported to Lake Mead. At some time
3 they were placed in canvas bags, taken onto
4 the lake and placed in the water to drown.
5 Such killings were especially heinous
6 [sic], cruel, and depraved.

7 In applying this provision, the Arizona
8 Supreme Court has said that these words
9 have meanings that are clear. The evidence
10 shows that the killings were carefully
11 planned and cold blooded. This, by itself,
12 is not sufficient, however, as pointed out
13 in St. v. Madsen Ariz. , P2d
14 (filed March 26, 1980) and had the murders
15 taken place at the scene on I-17 they would
16 not likely have been set aside from the
17 norm of first degree murder.

18 But the facts show the murders were
19 shockingly evil, insensate, and marked by
20 debasement.

21 The Defendants argue that the State has
22 not shown the victims suffered pain, or
23 that they were not drugged.

24 The guidelines of State v. Knapp 114
25 Az. 531, 562 P2d 704 closely reach this
26 case. In Knapp the victims were
27 incinerated. The autopsy shows there was
28 carbon monoxide poisoning as well, a
29 painless death. The nature of the killing
30 itself is sufficient to set it aside from
31 the norm. Placing victims in canvas bags
32 and dropping them to a slow and terrifying
death is grossly bad, sadistic and perverse.

33 The trial court found some mitigating circumstances
34 (previous reputation for good character, close family
35 ties), but concluded that they were not sufficiently
36 substantial to call for leniency.

37 Petitioner and his brother appealed from the judgments
38 of guilt and sentences imposed. On April 13, 1982, the
39 Arizona Supreme Court reversed the convictions of
40 petitioner and his brother and remanded the matter for a
41 new trial. State v. Poland, 132 Ariz. 269, 645 P.2d 784
42 (1982). The reversal was based on the court's finding that
43 the jury had been guilty of misconduct because it had
44 considered evidence not admitted at trial. Id. at 281-85,

1 796-800. In their appellate brief petitioner and his
2 brother had argued that there was insufficient evidence to
3 support the trial court's finding of the aggravating
4 circumstance set forth in former Ariz.Rev.Stat.Ann.
5 § 13-454(E)(6). The Arizona Supreme Court responded to
6 that claim as follows:

7 In sentencing defendants, the trial
8 judge found the following aggravating
circumstance to exist:

9 "§13-454(E)(6). The defendant committed
10 the offense in an especially heinous,
cruel, or depraved manner."

11 Finding no mitigating circumstances
12 sufficiently substantial to call for
leniency, the trial court imposed the death
13 penalty pursuant to A.R.S. § 13-454(D).

14 In interpreting the aggravating
15 circumstance that the offense was committed
in an especially heinous, cruel, or
depraved manner, we have stated:

16 " * * * the cruelty referred to in the
17 statute involved the pain and the
18 mental and physical distress visited
upon the victims. Heinous and depraved
19 as used in the same statute meant the
mental state and attitude of the
perpetrator as reflected in his words
and actions." State v. Clark, 126
20 Ariz. 428, 436, 616 P.2d 888, 896
(1980), cert. denied 449 U.S. 1067, 101
21 S.Ct. 796, 66 L.Ed.2d 612.

22 We do not believe that the evidence so
23 far produced in this case shows that the
murders were cruel. We have interpreted
24 "cruel" as "disposed to inflict pain esp.
in a wanton, insensate or vindictive
25 manner: sadistic." State v. Lujan, 124
Ariz. 365, 372, 604 P.2d 629, 636 (1979),
26 quoting Webster's Third New International
Dictionary. There was no evidence of
27 suffering by the guards. The autopsy
revealed no evidence that they had been
28 bound or injured prior to being placed in
the water, and there was no sign of a
struggle. Cruelty has not been shown
29 beyond a reasonable doubt. State v. Lujan,
supra; State v. Ortiz, Ariz., 639 P.2d 1020
30 (1981); State v. Bishop, 127 Ariz. 531, 622
P.2d 478 (1980); State v. Knapp, 114 Ariz.
31 531, 562 P.2d 704 (1977), cert. denied 435
U.S. 908, 98 S.Ct. 1458, 55 L.Ed.2d 500
32 (1978).

1 Neither does the evidence support a
2 finding that the murders were heinous or
3 depraved. These terms were defined in
4 State v. Lujan, supra:

5 "heinous: hatefully or shockingly
6 evil: grossly bad
7 * * * * *

8 "depraved: marked by debasement,
9 corruption, perversion or
10 deterioration." 124 Ariz. at 372, 604
11 P.2d at 636.

12 The issue focuses on the state of mind of
13 the killer. State v. Lujan, supra. The
14 difficulty in making this determination in
15 the case at bar is that there is very
16 little evidence in the record of the exact
17 circumstances of the guards' deaths.
18 Although defendants' state of mind may be
19 inferred from their behavior at or near the
20 time of the offense, State v. Lujan, supra,
21 we know nothing of the circumstances under
22 which the guards were held hostage.

23 The State must prove the existence of
24 aggravating circumstances beyond a
25 reasonable doubt. State v. Jordan, 126
26 Ariz. 283, 614 P.2d 825, cert. denied 449
27 U.S. 986, 101 S.Ct. 408, 66 L.Ed.2d 251
28 (1980). We do not believe it has been
29 shown beyond a reasonable doubt that the
30 murders were committed in an "especially
31 heinous, cruel or depraved manner."

32 We do note, however, that the trial
court mistook the law when it did not find
that the defendants "committed the offense
as consideration for the receipt, or in
expectation of the receipt, of anything of
pecuniary value." A.R.S. § 13-454(E)(5).
In so holding, the trial judge stated:

"5. The court finds the aggravating
circumstance in § 13-454(E)(5) is not
present. This presumes the legislative
intent was to cover a contract
killing. If this presumption is
inaccurate, the evidence shows the
defendants received something of
pecuniary value, cash in the amount of
\$281,000.00.

"This, then, would be an aggravating
circumstance."

It was not until after the trial in this
case that we held, in State v. Clark,
supra, that A.R.S. § 13-454(E)(5) was not
limited to "murder for hire" situations,

1 but may be found where any expectation of
2 financial gain was a cause of the murder.
3 Upon retrial, if the defendants are again
4 convicted of first degree murder, the court
5 may find the existence of this aggravating
6 circumstance.

7 Reversed and remanded for new trial
8 pursuant to this opinion.

9 Id. at 285-86, 800-01.

10 A retrial of petitioner and his brother commenced in
11 October of 1982. On November 18, 1982, the jury found both
12 men guilty of both murder charges. Once again the trial court
13 held the statutorily required aggravation-mitigation hearing.
14 On February 3, 1983, the trial court sentenced petitioner and
15 his brother to death for the murders. The trial court made
16 the following findings on aggravating circumstances:

17 2. The court finds the aggravating
18 circumstance in §13-454 E(2) is not
19 present as to Michael Poland, but is
20 present as to Patrick Poland in that on
21 October 5, 1981, Patrick Poland was
22 convicted of bank robbery and use of a
23 dangerous weapon in a bank robbery in
24 violation of Title 18, U.S.C. §2113(a)
25 and (d), in U.S. District Court, affirmed
26 by the 9th Circuit Court of Appeals on
27 August 16, 1982. Certiorari denied by
28 the U.S. Supreme Court on November 23,
29 1982.

30 3. The court finds the aggravating
31 circumstance in §13-454 E(3) [sic] is
32 present. The evidence shows the
defendants received something of
pecuniary value, cash in the amount of
\$281,000.00. The murders were not
committed incidentally or accidentally to
the robbery, on the contrary they were
intentionally and premeditatedly [sic]
committed solely for a financial motive.

4. The court finds the aggravating
circumstance in §13-454 E(4) [sic] is
present. In making this finding, the
court is not unmindful of State v.
Poland ___ Ariz. ___ 645 P2d, 784, and
reviewed that case in light of the
evidence in this trial and other Supreme
Court guidelines.

1 The cause of death was by drowning.
2 The victims were kidnapped on I-17 in
3 southern Yavapai County, they were
4 transported to Lake Mead. Some 24 hours
5 later they were placed in canvas bags,
6 taken onto the lake and dropped in the
7 water to drown. The culmination of
8 months of planning. The executed plan
9 shows the state of mind of the defendants
10 and that such killings were especially
11 hienous [sic] and depraved.

12 In applying this provision, the
13 Arizona Supreme Court has said that these
14 words have meanings that are clear. The
15 evidence shows that the killings were
16 carefully planned and cold blooded.
17 This, by itself, is not sufficient,
18 however, as pointed out in St. v. Madsen
19 125 Ariz. 346, 609 P2d, 1046.

20 But the facts show the murders were
21 shockingly evil, insensate, and marked by
22 debasement.

23 The Defendants argue that the State
24 has not shown the victims suffered pain,
25 or that they were not drugged. The
26 killings were cruel whether the victims
27 were drugged or not.

28 The guidelines of State v. Knapp 114
29 Az. 531, 562 P2d 704 and State v.
30 Gretzler, No. 3750-2 (Jan. 6, 1983)
31 closely reach this case. In Knapp the
32 victims were incinerated. The autopsy
showed there was carbon monoxide
poisoning as well, a painless death. In
Gretzler there was mental distress
visited upon the victims. In the case
sub judice, the nature of the killing
itself is sufficient to set it aside from
the norm. Holding the victims captives,
placing them in specially made canvas
bags and dropping them to a slow, painful
and terrifying death is grossly bad,
sadistic and perverse.

33 The trial court again found some mitigating circumstances,
34 but it concluded that they were not sufficiently
35 substantial to merit leniency.

36 Petitioner and his brother again appealed from the
37 judgments of guilt and sentences imposed. On March 20,
38 1985, the Arizona Supreme Court affirmed the judgments and
39 sentences. A three member majority rejected petitioner's
40

1 claim that the court had "acquitted" him of the death
2 penalty in his first appeal and that the double jeopardy
3 clause therefore precluded reimposition of the death
4 penalty. State v. Poland, ___ Ariz. ___, 698 P.2d 183,
5 198-99 (1985). The court also set aside the trial court's
6 finding that the killing had been committed in an
7 especially heinous, cruel or depraved manner. Id. at
8 199-200.

9 JURISDICTION

10 This Court has jurisdiction pursuant to 28 U.S.C.
11 § 1257(3).

12 ARGUMENT

13 PETITIONER HAS NEVER BEEN ACQUITTED
14 OF THE DEATH PENALTY. THEREFORE,
15 THE DOUBLE JEOPARDY CLAUSE DOES NOT
16 BAR HIS PRESENT DEATH SENTENCE.

17 Petitioner contends that the Arizona Supreme Court
18 "acquitted" him of the death penalty on his first appeal,
19 and concludes that the double jeopardy clause bars any
20 subsequent reimposition of the death penalty. Petitioner's
21 position is meritless.

22 The double jeopardy clause protects against a second
23 prosecution for the same offense after acquittal, against a
24 second prosecution for the same offense after conviction,
25 and against multiple punishments for the same offense.
26 Illinois v. Vitale, 447 U.S. 410, 100 S.Ct. 2260, 65
27 L.Ed.2d 228 (1980). It does not bar reprosecution of a
28 defendant whose conviction is overturned on appeal. United
29 States v. Ball, 163 U.S. 662, 16 S.Ct. 1192, 41 L.Ed. 300
30 (1896). The clause also protects a defendant in a capital
31 case who has been acquitted of the death penalty following
32 a capital sentencing proceeding that is like a trial.

1 Arizona v. Rumsey, ____ U.S. ____, 104 S.Ct. 2305, 81 L.Ed.2d
2 164 (1984); Bullington v. Missouri, 451 U.S. 430, 101 S.Ct.
3 1852, 68 L.Ed.2d 270 (1981).

4 Petitioner misrepresents the holding of the Arizona
5 Supreme Court in his first appeal. That court never
6 acquitted petitioner of the death penalty. It did find
7 that the evidence did not support the "heinous, cruel or
8 depraved" aggravating circumstance, but it did not find
9 that the evidence did not support the imposition of the
10 death penalty. It specifically left that question open
11 because of the trial court's conditional finding regarding
12 the "pecuniary gain" aggravating circumstance. State v.
13 Poland, supra, 132 Ariz. at 285-86, 645 P.2d at 800-01.
14 The Arizona Supreme Court, in all death cases,
15 independently reviews the record to determine for itself
16 the aggravating and mitigating factors, and then to
17 determine if the latter outweigh the former. State v.
18 Richmond, 114 Ariz. 186, 196, 560 P.2d 41, 51, cert.
19 denied, 433 U.S. 915 (1976). Thus, the fact that the state
20 did not appeal from the trial court's finding regarding the
21 "pecuniary gain" circumstance did not preclude the Arizona
22 Supreme Court from reviewing that finding. The court could
23 have gone on to determine for itself whether the death
24 penalty should have been imposed based upon the "pecuniary
25 gain" circumstance. However, since it had already reversed
26 petitioner's conviction, it simply left the question for
27 the trial court in the event of a conviction following the
28 retrial. Thus, the Arizona Supreme Court did not acquit
29 petitioner of the death sentence. Burks v. United States,
30 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1981), is
31 therefore inapplicable in this case. Since petitioner has
32

1 never been acquitted of the death sentence, the double
2 jeopardy clause offers him no protection from his present
3 sentence.

4 Petitioner would extend the holdings of Rumsey and
5 Bullington so that not only would Arizona's capital
6 sentencing proceeding be comparable to a trial for purposes
7 of the double jeopardy clause, but also that sentencing
8 "trial" would consist of a number of separate "trials" on
9 the existence or nonexistence of individual aggravating
10 circumstances. Thus, an "acquittal" of an aggravating
11 circumstance at one of these "sub-trials" would give the
12 defendant the protection of the double jeopardy clause and
13 preclude a "retrial" on that aggravating factor at any
14 subsequent resentencing. This Court has never extended the
15 protection of the double jeopardy clause this far. Double
16 jeopardy protection only comes into play where there has
17 been an end to a criminal proceeding, e.g., a jury verdict
18 of not guilty, a trial court's decision to impose a life
19 sentence rather than the death penalty in certain
20 trial-like capital sentencing proceedings, etc. See
21 Justices of Boston Municipal Court v. Lydon, ___ U.S. ___,
22 104 S.Ct. 1805, 80 L.Ed.2d 311 (1984). Double jeopardy
23 protection does not extend to the numerous individual steps
24 that lead up to a final decision in a criminal proceeding.

25 Thus, for purposes of double jeopardy protection, there
26 is no such thing as an "acquittal" of an aggravating
27 circumstance in a capital sentencing proceeding. See,
28 e.g., Green v. Zant, 738 F.2d 1529 (11th Cir.), cert.
29 denied, ___ U.S. ___, 105 S.Ct. 607, 83 L.Ed.2d 716 (1984);
30 Knapp v. Cardwell, 667 F.2d 1253 (9th Cir.), cert. denied,
31 459 U.S. 1055 (1982); Hopkins v. State, 664 P.2d 43 (Wyo.),
32

1 cert. denied, ____ U.S. ____, 104 S.Ct. 262, 78 L.Ed.2d 246
2 (1983); State v. Gretzler, 135 Ariz. 42, 659 P.2d 1, cert.
3 denied, ____ U.S. ____, 103 S.Ct. 244, 77 L.Ed.2d 1327
4 (1983); Spaziano v. State, 443 So.2d 508 (Fla. 1983);³
5 Zant v. Redd, 249 Ga. 211, 290 S.E.2d 36 (1982), cert.
6 denied, ____ U.S. ____, 103 S.Ct. 3552, 77 L.Ed.2d 1398
7 (1983). Thus, petitioner's "acquittal" of certain
8 aggravating circumstances did not preclude the trial court
9 from finding those circumstances at resentencing.

10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30 _____
31 3. This Court affirmed Spaziano's conviction and
32 sentence in Spaziano v. Florida, ____ U.S. ____, 104 S.Ct.
3154, 82 L.Ed.2d 340 (1984), although it did not consider
the "double jeopardy-aggravating circumstance" issue.

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

CONCLUSION

Because petitioner has failed to show a violation of any constitutional right, this Court should deny the petition for certiorari.

Respectfully submitted,

ROBERT K. CORBIN
Attorney General

WILLIAM J. SCHAFER III
Chief Counsel
Criminal Division

Gerald R. Grant

GERALD R. GRANT
Assistant Attorney General

Attorneys for RESPONDENT

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32

A F F I D A V I T

STATE OF ARIZONA)
) ss.
COUNTY OF MARICOPA)

GERALD R. GRANT, being first duly sworn upon oath,
deposes and says:

That he served the attorney for the petitioner in the
foregoing case by forwarding two (2) copies of RESPONSE TO
PETITION FOR WRIT OF CERTIORARI, in a sealed envelope,
first class postage prepaid, and deposited same in the
United States mail, addressed to:

H. K. WILHELMOSEN
P.O. Box 2321
Prescott, Arizona 86302

CHARLES ANTHONY SHAW
122 North Cortez Street
Suite 300
Prescott, Arizona 86301
Attorneys for PETITIONER

this 1st day of August, 1985.


GERALD R. GRANT

SUBSCRIBED AND SWORN to before me this 1st day of
August, 1985.


CHRIS L. PISKE
NOTARY PUBLIC

My Commission Expires:
October 28, 1985

CR42-009
6947D clp

4 5
Nos. 85-5023 and 85-5024

Supreme Court, U.S.

FILED

NOV 15 1985

JOSEPH E. SPANIOL, JR.
CLERK

In the Supreme Court of the United States

OCTOBER TERM, 1985

PATRICK GENE POLAND, PETITIONER

v.

ARIZONA, RESPONDENT

MICHAEL KENT POLAND, PETITIONER

v.

ARIZONA, RESPONDENT

ON WRITS OF CERTIORARI TO THE SUPREME COURT
OF THE STATE OF ARIZONA

JOINT APPENDIX

MARC E. HAMMOND *
PERRY, HAMMOND, DRUTZ
& MUSGROVE
P. O. Box 2720
Prescott, Arizona 86302
(602) 445-5935
*Counsel for Petitioner
Patrick Gene Poland*
H. K. WILHELMSSEN *
P. O. Box 2321
Prescott, Arizona 86302
(602) 445-3118
*Counsel for Petitioner
Michael Kent Poland*

ROBERT K. CORBIN
Attorney General of the
State of Arizona
WILLIAM J. SCHAFER, III
Chief Counsel
Criminal Division
GERALD R. GRANT *
Assistant Attorney General
Department of Law
1275 W. Washington First Floor
Phoenix, Arizona 85007
(602) 255-4686
Counsel for Respondent

* Counsels of Record

PETITION FOR CERTIORARI FILED JULY 2, 1985
CERTIORARI GRANTED OCTOBER 7, 1985

142/142

TABLE OF CONTENTS

	Page
List of Relevant Docket Entries	1
Judgment and Sentencing (February 3, 1983)	2
State's Memorandum in re: Aggravating Circumstances (March 10, 1980)	8
Transcript of (First) Sentencing (April 9, 1980)	11
Special Verdict (April 9, 1980)	15
Argument from State's Answering Brief (1981)	18
Argument From Appellant's Opening Brief (February, 1981)	23
Argument from Appellant's Reply Brief (1981)	30
Opinion of Arizona Supreme Court (Poland I) (April 13, 1982)	34
Notice of Intent to Seek the Death Sentence and Sen- tencing Memorandum (December 9, 1982)	64
Defendant's Response to Sentencing Memorandum (June 15, 1983)	71
Special Verdict (February 3, 1983)	78
Opinion of Arizona Supreme Court (Poland II) (March 20, 1985)	82
Order Denying Motion for Reconsideration (May 8, 1985)	134
Death Penalty Statute (A.R.S. § 13-454)	135
Orders granting certiorari and leave to proceed <i>in forma pauperis</i>	139



LIST OF RELEVANT DOCKET ENTRIES

November 24, 1979 —Jury Verdict of Guilty (First Trial).
April 9, 1980 —Sentencing (First Trial).
April 9, 1980 —Notice of Appeal Filed.
April 13, 1982 —Decision of the Supreme Court of Arizona.
November 18, 1982 —Jury Verdict (Second Trial).
February 3, 1983 —Sentencing.
February 3, 1983 —Notice of Appeal Filed.
March 20, 1985 —Decision of Arizona Supreme Court.
April 10, 1985 —Motion for Reconsideration Filed.
May 8, 1985 —Denial of Motion for Reconsideration.
July 2, 1985 —Petition for Certiorari Filed, USSC.
October 7, 1985 —Certiorari Granted.

IN THE SUPERIOR COURT
OF THE STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

No. 8850

STATE OF ARIZONA, PLAINTIFF

vs.

MICHAEL KENT POLAND, DEFENDANT

JUDGMENT AND SENTENCING

Time for passing Sentence having been set and coming on regularly this date, the Defendant is brought into court by the Sheriff; Wm. Lee Eaton, his counsel, being present; the Plaintiff appearing by and through A. Melvin McDonald, Jr. and W. Ronald Jennings, United States Attorneys for District Of Arizona and Steven J. Twist, Chief Assistant Attorney General. David W. Lundy, Court Reporter, reports the proceedings.

Comes now counsel McDonald for Plaintiff and requests the Court rule on the admission of Plaintiff's exhibit 1 previously taken under advisement at the Sentencing Hearing on January 11, 1983, prior to the Sentencing; counsel for Defendants objecting thereto and it is Ordered Plaintiff's exhibit 1 is admitted into evidence over said objections.

Thereupon, the Defendant, standing in court, the following Judgment and Imposition Of Sentence are pronounced and entered in the record, to-wit:

An Indictment having been returned by the Grand Jury of Yavapai County, Arizona, on April 26, 1979,

charging the Defendant with the crimes of Count I, Murder of Russell Dempsey in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended; and Count II, Murder of Cecil Newkirk in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended, Felonies, to which Indictment, the Defendant entered pleas of not guilty at Arraignment on May 8, 1979, and having put himself upon the country, and by that country, to-wit: by the verdict of twelve (12) good and lawful men and women, the Defendant was found guilty of the crime of Murder of Cecil Newkirk and further was found guilty of the crime of Murder of Russell Dempsey on November 18, 1982.

Comes now counsel for Defendant and makes statement to the Court on behalf of the Defendant.

No legal cause appearing to the Court why Judgment and Sentence should not now be pronounced, and by reason of the Verdict of the Jury, it is the Judgment of this Court that you, Michael Kent Poland, are guilty of the crime as charged in Count I of the Murder of Russell Dempsey on or about May 24, 1977, in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended; and further you are guilty of the crime as charged in Count II of the Murder of Cecil Newkirk on or about May 24, 1977, in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended, Felonies.

Comes now the Court and states the Aggravating and Mitigating Circumstances are as set forth in the Special Verdict.

Thereafter, the Court finds, pursuant to the provisions of A.R.S. 13-453(A) and 13-454(E), that two (2) of the Aggravating Circumstances exist as to the Defendant, Michael Kent Poland, and that there are no Mitigating Circumstances sufficiently substantial to call for leniency.

Therefore, as punishment for these crimes, it is Ordered that you, Michael Kent Poland, be sentenced to death afflicted by administering lethal gas. The execu-

tion shall take place within the limits of the State Prison at a time fixed by the Supreme Court if this conviction and sentence is affirmed.

The Clerk is Ordered to file a Notice Of Appeal from the Judgment and Sentence.

Further Ordered the Defendant is remanded to the custody of the Sheriff for transportation to the Arizona State Department Of Corrections.

DONE IN OPEN COURT THIS 3rd DAY OF FEBRUARY, 1983.

/s/ Paul G. Rosenblatt
Judge of the Superior Court
Division I

IN THE SUPERIOR COURT
OF THE STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

No. 8850

STATE OF ARIZONA, PLAINTIFF

vs.

PATRICK GENE POLAND, DEFENDANT

JUDGMENT AND SENTENCING

Time for passing Sentence having been set and coming on regularly this date, the Defendant is brought into court by the Sheriff; John C. Stallings, his counsel, being present; the Plaintiff appearing by and through A. Melvin McDonald, Jr., and W. Ronald Jennings, United States Attorneys for District Of Arizona and Steven J. Twist, Chief Assistant Attorney General. David W. Lundy, Court Reporter, reports the proceedings.

Comes now counsel McDonald for Plaintiff and requests the Court rule on the admission of Plaintiff's exhibit 1 previously taken under advisement at the Sentencing Hearing on January 11, 1983, prior to the Sentencing; counsel for Defendants objecting thereto and it is Ordered Plaintiff's exhibit 1 is admitted into evidence over said objections.

Thereupon, the Defendant, standing in court, the following Judgment and Imposition Of Sentence are pronounced and entered in the record, to-wit:

An Indictment having been returned by the Grand Jury of Yavapai County, Arizona, on April 26, 1979, charging

the Defendant with the crimes of Count I, Murder of Russell Dempsey in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended; and Count II, Murder of Cecil Newkirk in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended, Felonies, to which Indictment, the Defendant entered pleas of not guilty at Arraignment on May 8, 1979, and having put himself upon the country, and by that country, to-wit: by the verdict of twelve (12) good and lawful men and women, the Defendant was found guilty of the crime of Murder of Cecil Newkirk and further was found guilty of the crime of Murder of Russell Dempsey on November 18, 1982.

Comes now the Defendant and files with the Court three (3) letters written on his behalf.

Comes now Defendant and files with the Court Application For Writ Of Habeas Corpus; and further makes statement to the Court on his own behalf and further renews his Motion To Dismiss his Court-appointed counsel.

Comes now counsel for Defendant and makes statement to the Court on behalf of the Defendant.

No legal cause appearing to the Court why Judgment and Sentence should not now be pronounced, and by reason of the Verdict of the Jury, it is the Judgment of this Court that you, Patrick Gene Poland, are guilty of the crime as charged in Count I of the Murder of Russell Dempsey on or about May 24, 1977, in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended; and further that you are guilty of the crime as charged in Count II of the Murder of Cecil Newkirk on or about May 24, 1977, in violation of A.R.S. 13-451, 13-452 as amended and 13-453(A) as amended, Felonies.

Comes now the Court and states that the Aggravating and Mitigating Circumstances are as set forth in the Special Verdict.

Thereafter, the Court finds, pursuant to the provisions of A.R.S. 13-453(A) and 13-454(E), that three (3) of

the Aggravating Circumstances exist as to the Defendant, Patrick Gene Poland, and that there are no Mitigating Circumstances sufficiently substantial to call for leniency.

Therefore, as punishment for these crimes, it is Ordered that you, Patrick Gene Poland, be sentenced to death afflicted by administering lethal gas. The execution shall take place within the limits of the State Prison at a time fixed by the Supreme Court if this conviction and sentence is affirmed.

The Clerk is Ordered to file a Notice Of Appeal from the Judgment and Sentence.

Further Ordered the Defendant is remanded to the custody of the Sheriff for transportation to the Arizona State Department Of Corrections.

DONE IN OPEN COURT THIS 3rd DAY OF
FEBRUARY, 1983.

/s/ Paul G. Rosenblatt
Judge of the Superior Court
Division I

SUPERIOR COURT OF ARIZONA
YAVAPAI COUNTY

No. 8850

STATE OF ARIZONA, PLAINTIFF

vs.

MICHAEL KENT POLAND and
PATRICK GENE POLAND, DEFENDANTS

STATE'S MEMO IN RE
AGGRAVATING CIRCUMSTANCES

The State of Arizona, by and through the Yavapai County Attorney, Billy L. Hicks, sets forth the following in regard to the aggravating circumstances herein. It is submitted that the existence of the two aggravating circumstances herein call for the Court to impose the death penalty inasmuch as there are no mitigating circumstances sufficiently substantial to call for leniency. The memorandum of points and authorities supports this position.

Dated this 10th day of March, 1980.

/s/ Billy L. Hicks
BILLY L. HICKS
Yavapai County Attorney

MEMORANDUM OF POINTS AND AUTHORITIES

- A. *The defendants committed the offense as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value.*

There is really no Arizona Appellate Court construction on this point. The State submits that the language is clear and unambiguous. The words are in common usage with the meanings well-fixed and generally understood. A plain reading of the statute certainly encompasses murder committed in connection with a robbery or other profit-motivated offense. The following cases have so held: (1) *State v. Snow*, 383 A.2d 1385, 1388 (1978) interpreting the identical language in a homicide statute; (2) *Raulerson v. State*, Fla., 358 So.2d 826 (1978); (3) *Young v. State*, 237 Ga. 851, 230 S.E.2d 287 (1926); (4) *Neal v. State*, Ark. 531 S.W.2d 17, 21 (1976). The Court should give the wording in the statute its plain meaning.

In *State v. Holsinger*, 115 Ariz. 89, 98, 563 P.2d 888 (1977), the only Arizona case known to have discussed the section, the section was applied to a murder motivated by a contemplated inheritance but the Court did not discuss the intent of the statute.

In the case at bar there was a contemplated financial gain from the robbery of the Purolator truck. The key portion of the sub-section of the statute pertaining to this case is "*in expectation of the receipt*" of anything of pecuniary value. Certainly there was an expectation in this instance to receive money after the robbery. The sub-section applies to this case.

- B. *The defendants committed the offense in an especially heinous, cruel, or depraved manner.*

In the Arizona Supreme Court's clearest statement of the applicable test that should be applied to this sub-section the Court has agreed that the commission of the

crime must be such as to "set defendant's acts apart from the norm of first degree murder". *State v. Brookover*, 124 Ariz. 38, 601 P.2d 1322 (1979); *State v. Lujan*, Ariz., 604 P.2d 629 (1979). Where the manner of inflicting death has been by common gunshot or stabbing, the Court has consistently declined to find the aggravating factor. See, *State v. Watson*, 120 Ariz. 441, 586 P.2d 1253 (1978); *State v. Brookover*, *supra*; *State v. Lujan*, *supra*.

In the instant case it is submitted that the method of causing death does indeed "set the defendant's acts apart from the norm". The placing of the victims into the canvas bags and drowning of them is a death brought about in an especially heinous or depraved manner when compared to a *mere* gunshot, stabbing, or other type of first degree murder act. This act is outside the scope of the usual type of killing.

A ruthless disregard for human life was evident when the Arizona Court upheld the death penalty in *State v. Knapp*, 114 Ariz. 531, 562 P.2d 704 (1977), where the defendant set fire to the bedroom wherein his two infant daughters were sleeping and then returned to his bedroom and waited while they were killed.

A ruthless disregard for human life is also evident in this case. The robbery was already completed. The victims were then placed into the bags and the bags secured leaving the victims to a slow, agonizing death at the bottom of Lake Mead.

Based on the above, it is submitted that the two subsections of the death penalty statute *do* apply and that there are no mitigating factors sufficiently substantial to call for leniency.

Dated this 10th day of March, 1980.

/s/ Billy L. Hicks
BILLY L. HICKS
Yavapai County Attorney

SUPERIOR COURT OF THE STATE OF ARIZONA
COUNTY OF YAVAPAI

[Title Omitted in Printing]

TRANSCRIPT OF FIRST SENTENCING—APRIL 9, 1980

* * * *

[1] THE COURT: This is Cause No. 8850, State of Arizona versus Michael Kent Poland and Patrick Gene Poland. This is the time set for sentencing.

Is the State ready?

MR. HICKS: Yes, sir. Billy Hicks appearing for the State, and we are ready.

THE COURT: Are the defendants ready?

MR. EATON: Defendant Michael Poland is ready.

MR. STALLINGS: Defendant Patrick Poland is ready, your Honor.

THE COURT: Would you come forward, please.

Is your true and correct name Michael Kent Poland?

MICHAEL POLAND: Yes, it is.

[2] THE COURT: And is your true and correct name Patrick Gene Poland?

PATRICK POLAND. Yes, sir.

THE COURT: Gentlemen, you were charged by the State of Arizona with two counts; one, that on or about May 24th, 1977, you murdered Russell Dempsey. In Count Two that on or about May 24th, 1977, you murdered Cecil Newkirk. On November 24th of 1979 you were found guilty of these charges by a jury.

Do you have anything to say or cause to show why sentence should not now be pronounced?

MR. EATON: Your Honor, we have already exercised our right of elocution in our previous proceedings, and we have nothing else to state.

THE COURT: Mr. Stallings?

MR. STALLINGS: I have nothing to add to the Court, Your Honor.

THE COURT: Michael?

MICHAEL POLAND: I believe the Court knows my feelings about this.

THE COURT: Patrick?

PATRICK POLAND: We didn't do it.

THE COURT: No cause appearing to the Court and by reason of the findings of the Jury, it is the judgment of this Court that you are guilty of the crime of the murder of [3] Russell Dempsey on May 24th, 1977, in violation of ARS Sections 13-451, 13-452, as amended and 13-453(A), as amended, and guilty as charged in Count Two that on or about May 24th, 1977, you both murdered Cecil Newkirk in violation of ARS Sections 13-451, 13-452, as amended and 13-453(A), as amended.

I would like to state at the outset that this Court was offended by the prosecutorial discretion to not prosecute these gentlemen in Federal Court. They were charged under the laws of the United States of America. The Federal prosecutor did not see fit to prosecute under those laws; he should have, or if he did not like those laws, he should attempt to have those laws changed. The most significant example of this abuse of discretion occurred when Herod turned to Pontius Pilate to have Jesus executed under the laws of Rome; there being no such law available to the priests. I think there was an abuse; on the other hand, it is as the Court understands the law, permissible.

I would like to extend the analogy beyond what I have already mentioned because of course in this case the State's case was very strong as to your guilt.

PATRICK POLAND: Us?

THE COURT: I know in a society of television we like to think that somewhere there is a great camera that is able to replay instantly everything that has happened; we have become accustomed to that in our daily lives. Of course, it [4] doesn't happen that way. The case was strong. The evidence did fit together very neatly and was in fact supported by your testimony that you were engaged in the sort of Robin Hood series of criminal activities that was totally unbelievable.

The difficulty with the case, of course, is the fact that you have been good, solid products of middle America, so to speak; nothing psychopathic in your background. You are not the victims of broken homes, obviously loving and caring for your families and your families for you; this is not the typical example of derelicts who for unknown reasons take out their vengeance on society.

I think that Mr. Eaton in his argument at the Sentencing Hearing dramatically demonstrated the backgrounds in a way that the Court has never had the opportunity to observe in any court, in my own Court or on the Legislative floor; truly a remarkable job of a demonstration of the difficulties involved in this case.

The Court has prepared a special verdict as required by law and delivering copies to counsel and to the prosecutor. Without reading the entire special verdict, suffice it to say that the Court finds one aggravating circumstance and one alone as permitted under the provisions of ARS Section 13-454(E), and that aggravating circumstance is that these killings were especially heinous, cruel and depraved. Set forth in a more [5] detailed analysis of this aggravating circumstance, it goes beyond the fact the killings were carefully planned and cold-blooded. The Arizona Supreme Court has spoken to us most recently in State versus Madsen that this is not sufficient. Had the murders taken place at the scene, it would not likely be set aside as the normal first degree murder, but that was not the evidence. The evidence more clearly supports the guidelines of State versus

Knapp, and in that case it was found by the trial court and by the Supreme Court that the circumstances were beyond the norm and especially heinous, cruel and depraved.

As far as mitigating circumstances are concerned, the Court finds none of the statutory mitigating circumstances, but the Court does find mitigating circumstances that the defendants' previous reputation for good character is a mitigating circumstance, and that the close family ties that exist between the defendants and their families and their children is also a mitigating circumstance, and the Court has considered the ages of the defendants.

Pursuant to the provisions of ARS Sections 13-453(A) and 13-454(E), the Court finds that one of the aggravating circumstances exists and that there are no mitigating circumstances substantial to call for leniency.

Therefore, as punishment for this crime, it is Ordered that you both be sentenced to death afflicted by [6] administering lethal gas. The execution shall take place within the limits of the State Prison at a time fixed by the Supreme Court if these convictions and sentences are affirmed.

The Clerk is Ordered to file a Notice of Appeal from these judgments and sentences, and the defendants are remanded to the custody of the Sheriff for delivery to the Department of Corrections.

Anything for the record?

MR. EATON: Nothing further, your Honor.

MR. HICKS: Nothing from the State, your Honor.

THE COURT: Court stands at recess.

IN THE SUPERIOR COURT OF THE
STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

[Title Omitted in Printing]

SPECIAL VERDICT

Pursuant to the requirements of A.R.S. § 13-454 C; Lockett v. Ohio, 438 U.S. 586, 98 S.Ct. 2955; 57 L.Ed 2d 973 (1978); and State v. Watson, 120 Ariz. 441, 586 P.2d 1253 (1978), this court returns this special verdict of its findings of the existence or non-existence of aggravating circumstances set forth in § 13-454E and of any mitigating circumstances.

AGGRAVATING CIRCUMSTANCES

The only information which has been considered by this court relevant to any of the aggravating circumstances set forth in § 13-454E is that received in evidence at the trial.

A. The court considers the statutory circumstances as follows:

1. The court finds the aggravating circumstance in § 13-454 E(1) is not present.
2. The court finds the aggravating circumstance in § 13-454 E(2) is not present.
3. The court finds the aggravating circumstance in § 13-454 E(3) is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00.

This, then, would be an aggravating circumstance.

4. The court finds the aggravating circumstance in § 13-454 E(4) is present.

The cause of death was by drowning. The victims were kidnapped on I-17 in southern Yavapai County, they were transported to Lake Mead. At some time they were placed in canvas bags, taken onto the lake and placed in the water to drown. Such killings were especially heinous, cruel, and depraved.

In applying this provision, the Arizona Supreme Court has said that these words have meanings that are clear. The evidence shows that the killings were carefully planned and cold blooded. This, by itself, is not sufficient, however, as pointed out in *St. v. Madsen — Ariz —*, — P2d — (filed March 26, 1980) and had the murders taken place at the scene on I-17 they would not likely have been set aside from the norm of first degree murder.

But the facts show the murders were shockingly evil, insensate, and marked by debasement.

The Defendants argue that the State has not shown the victims suffered pain, or that they were not drugged.

The guidelines of *State v. Knapp*, 114 Az. 531, 562 P2d 704 closely reach this case. In *Knapp* the victims were incinerated. The autopsy shows there was carbon monoxide poisoning as well, a painless death. The nature of the killing itself is sufficient to set it aside from the norm. Placing victims in canvas bags and dropping them to a slow and terrifying death is grossly bad, sadistic and perverse.

MITIGATING CIRCUMSTANCES

All information relevant to any mitigating circumstances, including, but not limited to, those set forth in § 13-454 (F), contained in the presentence report, presented at the sentencing hearing, and received in evidence at the trial of the defendants has been considered by the court.

A. The court considers the mitigating circumstances as follows:

1. The defendants' capacity to appreciate the wrongfulness of their conduct or to conform to the requirements of law was not significantly impaired. The mitigating circumstance of § 13-454(F)(1) is not present.

2. The defendants were not under unusual and substantial duress. The mitigating circumstance of § 13-454(F)(2) is not present.

3. There is no evidence or information of any kind to permit the court to find the defendants' participation in the murders was relatively minor. The mitigating circumstance of § 13-454(F)(3) is not present.

4. There is no evidence or information of any kind to permit this court to find that the defendants could not reasonably foresee that their conduct in the course of the commission of the offense for which they were convicted would cause or would create a grave risk of causing death to another person.

The mitigating circumstance of § 13-454(f)(4) is not present.

5. The defendants previous reputation for good character is a mitigating circumstance.

6. The close family ties that exist between the defendants, their families, and their children is a mitigating circumstance.

7. The court has considered the ages of the defendants. Michael Poland is 40 years old. Patrick Poland is 30 years old.

All references in this Special Verdict to the Arizona Revised Statutes are to the sections of those statutes as they were numbered at the time of the commission of the offense and prior to October 1, 1978.

DATED this 9th day of April, 1980.

/s/ Paul G. Rosenblatt
PAUL G. ROSENBLATT
Presiding Judge—Division One

SUPREME COURT OF ARIZONA

[Title Omitted in Printing]

**EXCERPTS OF ARGUMENT FROM
STATE'S ANSWERING BRIEF**

* * * *

ARGUMENT

VIII

**THE TRIAL COURT DID NOT ABUSE ITS DIS-
CRETION IN SENTENCING APPELLANTS TO
DEATH.**

Appellants argue that there was insufficient evidence to support the trial court's finding of an aggravating circumstance pursuant to former Ariz. Rev. Stat. Ann. § 13-454(E)(6), and that therefore the trial court erred in sentencing appellants to death. In death penalty cases, this Court must make an independent review of all the facts to determine the presence or absence of aggravating and mitigating circumstances. *State v. Bishop*, — Ariz. —, 622 P.2d 478 (1980). In reviewing the evidence, this Court must view the facts in the light most favorable to upholding the finding of the trial court, *State v. Watson*, 120 Ariz. 441, 447-48, 586 P.2d 1253, 1259-60 (1978), *cert. denied*, 440 U.S. 924 (1979); *State v. Ceja*, 115 Ariz. 413, 415-16, 565 P.2d 1274, 1276-78, *cert. denied*, 434 U.S. 975 (1977); *see State v. Smith*, 123 Ariz. 231, 242-43, 599 P.2d 187, 198-99 (1979). This Court must then make an independent review of the aggravating and mitigating circumstances to determine whether the death penalty should be imposed. *State v. Watson*, No.

3089-2 (Ariz. Sup. Ct., Apr. 19, 1981). Appellee submits that an independent review of the evidence supports the trial court's imposition of the death penalty.

In its special verdict of April 9, 1980, the trial court found an aggravating circumstance pursuant to former Ariz. Rev. Stat. Ann. § 13-454(E)(6). The trial court also made the following finding:

The court finds the aggravating circumstance in § 13-454 E(3) [sic] is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00.

(Special Verdict filed Apr. 9, 1980.) This Court has held that Ariz. Rev. Stat. Ann. § 13-454(E)(5) is not limited to "hired gun" situations, but applies also to murders committed for financial gain. *State v. Clark*, supra. The trial court did not have the benefit of the holding in *State v. Clark*, supra, when it filed its special verdict, and therefore it made a conditional finding on this particular circumstance and did not rely upon it in determining sentence. Appellee submits that this Court, in making its independent review, can and should hold that the circumstances of this case warrant the finding of an aggravating circumstance pursuant to Ariz. Rev. Stat. Ann. § 13-454(E)(5). The cause of the murders of Dempsey and Newkirk was the expectation of financial gain, in the form of the money in the Purolator van.

In their opening brief, appellants claim that imposition of the death penalty was improper because the state failed to prove the existence of the aggravating circumstance beyond a reasonable doubt, as required by *State v. Jordan*, 126 Ariz. 283, 614 P.2d 283, cert. denied, — U.S. —, 101 S.Ct. 408, 66 L.Ed.2d 251 (1980). Specifically, appellants assert that the state failed to carry its burden of proving that the murders were committed in an especially heinous, cruel or depraved manner within the mean-

ing of Ariz. Rev. Stat. Ann. § 13-454(E) (6). The presence of any one of the three elements set forth in the above subdivision is sufficient to constitute an aggravating circumstance. *State v. Bishop*, supra. This Court has had several occasions to discuss the meanings of the terms used in Ariz. Rev. Stat. Ann. § 13-454(E) (6). The aspect of cruelty involves the pain and the mental and physical distress visited upon the victims, while the terms heinous and depraved go to the mental state and attitude of the perpetrator as reflected in his words and actions. *State v. Ceja*, 126 Ariz. 35, 612 P.2d 491 (1980).

Appellants claim that there is nothing in the record to establish that the victims suffered pain. This is not so. As the trial court stated in its special verdict, placing the guards in canvas bags and leaving them to a slow and terrifying death is sadistic and perverse. Appellants cite *State v. Lujan*, 124 Ariz. 365, 604 P.2d 629 (1979), in support of their position that the killings of the guards were not exceptionally cruel. The victim in *Lujan* died from a single stab wound. That type of death cannot be compared to death by drowning. Death by drowning is more comparable to the death by incineration that this Court found to be exceptionally cruel in *State v. Knapp*, 114 Ariz. 531, 562 P.2d 764 (1977), cert. denied, 435 U.S. 908 (1978). An additional element of cruelty in this case is the mental suffering of the guards. Appellants held the guards prisoner for an extended period before placing them in canvas bags prior to their deaths. There can be no doubt that Dempsey and Newkirk suffered mental anguish, and it may be inferred that throughout their imprisonment they were uncertain about their ultimate fate. Cf. *State v. Steelman*, 126 Ariz. 19, 612 P.2d 475, cert. denied, — U.S. —, 101 S.Ct. 287, 66 L.Ed.2d 141 (1980). The evidence establishes that appellants murdered their victims in an especially cruel manner.

Appellants also argue that the record does not support a finding that the murders were committed in an espe-

cially heinous or depraved manner. Since no one witnessed the killings, appellants assert, it is impossible to establish state of mind at the time of the killings. Appellants' mental states and attitudes, like their guilt, are established by circumstantial evidence. Words and actions reflect a person's state of mind. *State v. Ceja*, supra, 126 Ariz. at 39, 612 P.2d at 495. The deaths of Dempsey and Newkirk are appellants' handiwork, and the manner of those deaths reflects cold, calculating and merciless minds. This is not speculation, as appellants label it, but rather the drawing of reasonable inferences from the evidence. Placing two living human beings into canvas bags and dropping them into a lake to drown is conduct that is shockingly evil and marked by debasement. Therefore, the evidence establishes that appellants murdered the guards in a heinous or depraved manner.

Appellants raise the cause of death issue in an attempt to attack the trial court's finding of an aggravating circumstance pursuant to Ariz. Rev. Stat. Ann. § 13-454 (E) (6). As set forth in the preceding argument, the evidence fully supports the conclusion that the cause of the guards' deaths was drowning. Further, appellants contend that it is possible that the guards might have been drugged prior to being placed in the water, and that the killings were thus "as humane as any killing can be." (Appellants' Opening Brief, at 83.) There was no evidence of drugs in either of the bodies. (R.T. of Oct. 31, 1979, at 24, 37.) In any event, any alleged drugging of the guards would only tend to reduce the cruelty element, and would not make appellants' conduct any less heinous or depraved. Appellee submits that society does not share appellants' idea of "humane" killings.

In conclusion, the record establishes the existence of aggravating circumstances pursuant to Ariz. Rev. Stat. Ann. § 13-454 (E) (5) and (6). There were no mitigating factors sufficiently substantial to call for leniency. Therefore, the trial court properly imposed the death penalty.

CONCLUSION

For all of the above-stated reasons, appellee respectfully requests that the judgment and sentence of the lower court be affirmed.

Respectfully submitted,

ROBERT K. CORBIN
Attorney General

/s/ William J. Schafer III
WILLIAM J. SCHAFER III
Chief Counsel
Criminal Division

/s/ Gerald R. Grant
GERALD R. GRANT
Assistant Attorney General
Attorneys for APPELLEE

SUPREME COURT OF ARIZONA

[Title Omitted in Printing]

**EXCERPTS OF ARGUMENT FROM
APPELLANTS' OPENING BRIEF**

* * * *

VIII

THERE WAS INSUFFICIENT EVIDENCE TO SUSTAIN THE TRIAL COURT'S FINDING THAT THE OFFENSE IN THE INSTANT CASE WAS COMMITTED IN AN ESPECIALLY HEINOUS, CRUEL AND DEPRAVED MANNER AS CONTEMPLATED BY THE LANGUAGE OF A.R.S. § 13-454(E) (6).

In sentencing the Appellants to death, the trial court in its Special Verdict found the existence of the aggravating circumstance set forth in A.R.S. § 13-454(E) (6), i.e., that the offense was committed in an especially heinous, cruel and depraved manner. It is the Appellants' contention that there was insufficient evidence to support this finding and that their death sentences are therefore improper.

This Court in *State v. Jordan*, 614 P2d 825 (1980), held that the State must prove the existence of aggravating circumstances beyond a reasonable doubt. For the reasons set forth hereafter, it is apparent that proof beyond a reasonable doubt of the existence of the aggravating circumstance set forth in A.R.S. § 13-454(E) (6) was not demonstrated.

In *State v. Lujan*, 604 P2d 629 (1979), this Court thoroughly examined and analyzed the application of A.R.S. § 13-454(E)(6) and dictated specific mandates concerning its applicability. In *Lujan*, supra, the defendant was sentenced to death following a finding by the trial court that the defendant committed the crime in an especially heinous, cruel or depraved manner. After an examination of the lower court record, this Court reversed the trial court and held that the aggravating circumstance did not exist. The defendant's sentence was therefore reduced to life imprisonment.

Factually, in *Lujan*, supra, the victim was stabbed in the stomach by the defendant after he had been rendered helpless by an accomplice. The victim died several hours later from the stab wound. In determining whether the aggravating factor existed under the factual setting of the *Lujan* case, the Court re-emphasized that the words "heinous, cruel, or depraved" have well defined, specific meanings. The Court, therefore, set forth the following definition for future guidance:

"The words 'heinous, cruel or depraved' have meanings that are clear to a person of average intelligence and understanding. Webster's Third New International Dictionary defines them as follows:

'heinous: hatefully or shockingly evil; grossly bad.'

'cruel: disposed to inflict pain especially in a wanton, insensate or vindictive manner: sadistic.'

'depraved: marked by debasement, corruption, perversion or deterioration.' "

The Court then stressed that under the Arizona statute, a killing must not be *merely* heinous, cruel or depraved to warrant the finding of the aggravating circumstance. Instead, a much higher degree of culpability must exist—the killing must be *especially* heinous, cruel or depraved.

The Court then proceeded to discuss at length the specific findings that *must be established by the record* in order for the aggravating factor to exist. The Court's meaning and intention is best understood by direct quotation from the opinion.

"For a killing to be especially cruel, the perpetrator must senselessly or sadistically inflict great pain on his victim. An example of exceptional cruelty can be found in *State v. Knapp*, supra, where defendant set fire to the room in which his two infant daughters were asleep and caused them to be burnt to death. We find nothing in the record to establish that the victims suffered pain, and the commission of the offense in this case cannot, therefore, be considered especially within the intent of A.R.S. § 13-454(E) (6).

In determining whether a murder has been committed in an especially heinous or depraved manner, we must necessarily consider the killer's state of mind at the time of the offense. This state of mind may be shown by his behavior at or near the time of the offense. Thus, we have found those additional factors which make murder especially heinous or depraved where the killer not only shot to death the victim of a robbery but also shot two innocent bystanders, killing one, all for no discernible reason. *State v. Blazak*, 114 Ariz 199, 560 P2d 54 (1977) as discussed in *State v. Knapp*, supra, and *State v. Ceja*, 115 Ariz 413, 565 P2d 1274, cert. denied, 434 U.S. 975, 98 S.Ct. 533, 54 L.Ed.2d 467 (1977). In *Knapp*, we characterized the killing of the bystander in *Blazak*, as "particularly unnecessary and conscienceless." 114 Ariz at 543, 562 P2d at 716.

We have also considered acts done immediately after the actual killing to determine the murderer's mental state at the time of the killing. We have found an

especially heinous or depraved manner of commission where the defendant murdered two victims in a "barrage of violence," continuing to shoot and abuse his victims even after he had killed them. *State v. Ceja*, 115 Ariz at 417, 565 P2d at 1278."

Application of the dictates of *Lujan*, supra, to the instant case leads undeniably to the conclusion that the record does *not* support a finding that the crime herein was committed in an especially cruel, heinous or depraved manner.

The killing of the guards cannot be found to be "especially cruel" since there is nothing in the record to establish that the victims suffered pain. There is no showing on the record that the perpetrator of the crime senselessly or sadistically inflicted great pain upon the victims. In this regard, it is important to recognize that one cannot assume the existence of pain from the act committed. For example, in *Lujan*, the Court refused to find that the victim suffered pain merely because he had been stabbed to death. In the instant case, there is a total void of evidence as to whether the guards' death was painful. All we know is that the guards' bodies were found floating in Lake Mead three to four weeks after their disappearance. We have nothing but mere speculation or conjure to enlighten us as to the circumstances surrounding the actual death of the victims. Likewise, the record in the instant case *cannot* support a finding that the crime was committed in an especially heinous or depraved manner. In this connection, *Lujan* has mandated that this finding must be based upon the killer's state of mind as shown by his behavior at or near the time of offense. The state of record in the instant case absolutely precludes such a finding since there is no evidence whatsoever in the record to show the killer's state of mind at the time of the offense.

This finding is initially impossible since we don't even know when the offense was committed. The bodies sur-

faced in Lake Mead three to four weeks after the robbery of the Purolator van. Dr. Green could not state with accuracy the length of time the bodies had been in the water. Since the bodies surfaced at different times, we do not even know for a fact that the bodies were placed in the water at the same time. In essence, it is impossible to make the finding of an especially heinous or depraved killing without direct evidence to show precisely what the perpetrator of the crime did and how he acted at or near the time the offense was committed. In the instant case, since no one actually witnessed the killings (when-ever or however they occurred), it is impossible for the record to establish the killer's state of mind at that undetermined point in time when the guards actually met their deaths.

The State in its sentencing memorandum chose to ignore the clear requirements of *Lujan*, supra and instead has chosen to continue to ignore facts and to engage in the same speculation that has characterized its presentation throughout the course of this case.

For example, the State chose to ignore the fact that drowning is a diagnosis of exclusion based primarily on the fact that the guards were found in the water without other visible signs of traumatic injury capable of causing death. This finding gives us no insight whatsoever as to the facts surrounding the placement of the bodies in the water or as to the condition of the guards at the time of the placement.

Additionally, the State chose to ignore the fact that Guard Dempsey suffered from serious heart disease at the time of the robbery. Dr. Green diagnosed that Dempsey suffered from coronary arteriosclerosis with thrombosis. The autopsy report states that Dempsey came to his death as a result of "undetermined cause." On cross examination, Dr. Green testified that he could not state as a reasonable medical certainty that Dempsey did not die of a heart attack. He further testified that if Demp-

sey did die of a heart attack, he could not say when the attack would have occurred. The record thus gives rise to the distinct possibility that Guard Dempsey died of a heart attack and that his body was merely disposed of in Lake Mead at a later date. In view of these facts, the evidence is insufficient as a matter of law to prove beyond a reasonable doubt that Dempsey was murdered. In any event, the date of the record is certainly insufficient to support a determination of an especially cruel, heinous or depraved killing.

Finally, we do not now and never will know the condition of the guards at the time they entered the water. As is established by the affidavit filed at the Aggravation-Mitigation hearing, Dr. Green has stated that it is possible that both individuals could have been drugged at some time before they were placed in the water. If this was the case, this killing was as humane as any killing can be. In any event, the possibility that the guards were drugged, which has not been disproved by the State, precludes the finding that the guards were killed in an especially cruel, heinous or depraved manner.

In conclusion, it is respectfully submitted that the specific findings mandated by *State v. Lujan* have not been established on the record in this case. The trial court was, therefore, precluded from finding that the killings herein were carried out in an especially heinous, cruel or depraved manner as contemplated by A.R.S. § 13-454 (E) (6) and the imposition of the death penalty was improper.

CONCLUSION

The trial court erred in not granting Appellants' Motion for New Trial for the reasons hereinbefore set forth. The trial court also erred in imposing the death sentence for the reason that there was insufficient evidence to support the aggravation-mitigation portion of this case.

Therefore, it is respectfully submitted that this case should be remanded for new trial.

Respectfully submitted,

BOYLE, BROWN, EATON
& PECHARICH

By: /s/ William Lee Eaton
WM. LEE EATON
100 East Union Street
Post Office Box 1549
Prescott, Arizona 86302
Attorney for Appellant
Michael Kent Poland
LAW OFFICES OF
JOHN C. STALLINGS

By: /s/ John C. Stallings
JOHN C. STALLINGS
224 West Gurley Street
Prescott, Arizona 86301
Attorney for Appellant
Patrick Gene Poland

SUPREME COURT OF ARIZONA

[Title Omitted in Printing]

EXCERPTS OF ARGUMENT FROM
APPELLANTS' REPLY BRIEF

* * * *

ARGUMENT V

The Defendants will not reiterate in this Reply all of the reasons advanced in their Opening Brief for their position that insufficient facts exist to justify the finding that the murders in this case were committed in an especially heinous, cruel and depraved manner. The arguments previously advanced have clearly made their point and need no further elaboration. What, however, does not further consideration is the Appellee's contention that A.R.S. § 13-454(E) (5) would apply even if these murders did not come within the definition of A.R.S. § 13-454(E) (6).

As the Appellee points out, the trial Court did not find the existence of the aggravating circumstance enumerated in A.R.S. § 13-454(E) (5) because it felt that the legislature did not intend the statutory language to apply to facts such as those present in the instant case. Further, the Appellee points out that at the time of sentencing in this case, *State v. Clark*, 126 Ariz 428, 616 P2d 888 1980), had not yet been decided and that had *Clark, supra*, been available, it would supply support for the finding that this aggravating circumstance is present in the instant case. Conceptually, the Appellants find much lacking in this approach. First, the trial Court did not find the existence of this aggravating circumstance and it would seem now somehow improper to find that it

does exist because of perhaps improvident language in the Special Verdict. Secondly, it remains the Appellants' contention, as advanced below, that the plain reading of the statutory language of A.R.S. § 13-454(E)(5) does not lead one to the conclusion that it was meant to cover the type of situation now being addressed on appeal.

The Appellants are mindful of the holding of *State v. Clark*, *supra*, with respect to the issue presented by A.R.S. § 13-454(E)(5), but they contend that Justice Gordon's dissent in that case more accurately touches the essence of this matter. Did the Legislature intend the statutory language to cover certain broad categories of criminal activity or was it simply intended for the statute to cover the more limited "murder-for-hire" situations? The Appellants believe the latter to be the case because the Legislature could have easily employed broader language if they intended the former to be the case. Indeed, other jurisdictions have drafted legislation which does appear to cover the broad spectrum of activity which this Court said in *Clark* was covered by our statutory provisions. The Appellants have compiled a list of the various states' statutes having relevance to this issue which is set forth in the appendix to this Reply Brief and what is significant about the language employed throughout the United States is the apparent degree to which certain states have made it clear that the range of offenses to be considered is broad irrespective of the relationship which existed or did not exist between the defendant and the victim. A real difference exists in the approach toward what is deemed to be an aggravating circumstance and what is not and that difference is reflected in the language employed. At least two jurisdictions, Alabama and Nebraska, have indicated that under their provisions the type of conduct now under examination would not be treated as an aggravating circumstance because the language employed by their legislatures was not precise enough to cover these situations. *Cook v. State*, 369 So.2d 1751 (Ala. 1979), *Ashlock v. State*, 367 So.2d 560 (Ala. CR. App., 1979), *State v. Rust*, 197 Neb

528, 250 NW2d 867 (1977). Other jurisdictions have found their language sufficient to cover a broader type of murder activity but only because the language employed condemned the "murder for pecuniary gain." *State v. Snow*, 383 A2d 1385 (Me. 1978); *Raulerson v. State*, 358 So.2d 826 (Fla. 1978); *Young v. State*, 237 Ga. 851, 230 SE2d 287 (1976); *Neal v. State*, 531 SW2d 17 (Ark. 1976). This is not the case in Arizona, although at one point in time it appears our Legislature did consider employing a broad definition "that the murder was committed for pecuniary gain" as an aggravating circumstance.

It is very difficult to ascertain what reasoning on the part of the Legislature led to the final adoption of the language of A.R.S. §§ 13-454(E)(4) and (E)(5) because no minutes of the legislative hearings were apparently kept if any such hearings were held. However, the Appellants have been able to find what appears to be an early draft of the death penalty statute, Senate Bill 1005, a copy of which is set forth in the Appendix to this Brief. As an examination of S.B. 1005 discloses, very broad language was employed in that proposed legislation that would have made the murder committed for pecuniary gain an aggravating circumstance. As Justice Gordon pointed out in his dissent to *State v. Clark, supra*, this type of language would squarely cover the activity of the instant case. However, after the issuance of S.B. 1005 and prior to the final adoption of the death penalty provisions, a change in the language employed by the Legislature occurred. The change in language was a significant one in that the much broader "murder was committed for pecuniary gain" provision was jettisoned in favor of the dual provisions now found to exist in our law in §§ 13-454(E)(4) and (E)(5).

The language which now appears in the statutory provisions now under consideration was apparently modeled in large part after a proposed U.S. House of Representative Death Penalty Bill which was never enacted by Congress. That proposal which is also set forth in the Ap-

pendix used language identical to that which is now found in A.R.S. §§ 13-454(E) (4) and (E) (5). The significance of the differences in the approaches found in S.B. 1005, the proposed federal legislation and the existing statutory provisions of §§ 13-454(E) (4) and (E) (5), clearly must be found in the narrowing of the categories of situations to be considered as aggravating circumstances. There is no doubt that S.B. 1005 in its inception would have covered the factual situation now under review but S.B. 1005 was never enacted. Instead, the more precise and narrowing language of the proposed federal legislation was adopted and in so doing the Legislature clearly intended that the statutory provisions cover only the exclusive situations in which the murder was committed for hire, or for the purpose of gaining insurance or inheritance proceeds. If the intent of the Legislature was that a broad category of homicides was to be ensnared in the language of §§ 13-454(E) (4) and (E) (5) that goal could have been accomplished by using the language of S.B. 1005. As was indicated that was not done, and for that reason it cannot be said that the blanket condemnation previously suggested by the Court in *State v. Clark, supra*, and by the Appellee in its Brief, is implicit in the language finally adopted by the Legislature. It is only by the employment of a strained interpretation of these provisions that one can arrive at the conclusion that the Legislature meant something vastly different than the clear meaning of the language employed in those provisions.

For these reasons, it is therefore respectfully submitted that the aggravating circumstance defined in A.R.S. § 13-454(E) (5) does not exist in the instant case, and that the provision itself has application only to the "murder-for hire" situations and to those instances in which the murder is committed in expectation of receiving insurance or inheritance proceeds. *State v. Rust, supra*.

SUPREME COURT OF ARIZONA
IN BANC

Nos. 4969, 4970

STATE OF ARIZONA, APPELLEE

v.

MICHAEL KENT POLAND, and
PATRICK GENE POLAND, APPELLANTS

April 13, 1982

Rehearing Denied May 25, 1982

OPINION OF THE COURT

CAMERON, Justice.

This is a consolidated appeal by defendants Michael Kent Poland and Patrick Gene Poland from jury verdicts of guilt to the crimes of first degree murder of Cecil Newkirk and Russell Dempsey, in violation of former A.R.S. §§ 13-451 and 13-452. Defendants were sentenced to death pursuant to former A.R.S. §§ 13-453(A) and 13-454(E). We have jurisdiction of this appeal pursuant to A.R.S. § 13-4031.

Because we must reverse as a result of jury misconduct, we need not consider all the questions raised by the defendants. We will, however, consider those questions which are likely to be raised again on retrial of the matter, it being kept in mind that different evidence presented at retrial might mandate different results.

Defendants raise the following issues on appeal:

1. Jurisdiction:

(a) Did the State of Arizona lack jurisdiction and the County of Yavapai lack venue to try defendants because of failure to show that the crimes were committed in the State of Arizona and the County of Yavapai?

(b) Did the prior federal prosecution of defendants arising out of the same facts bar the action in the state court?

2. Suppression of Evidence:

(a) Did a tour of Michael Poland's house constitute an impermissible warrantless search?

(b) Was the search warrant based on statements made in reckless disregard for the truth?

(c) Was the search warrant based on tainted, post-hypnotic statements of a witness?

(d) Was the scanner, scanner key, and taser gun receipt seized during the search outside the scope of the search warrant?

(e) Did the trial court err in allowing the taser gun to be admitted into evidence?

(f) Was it reversible error to admit the testimony of a witness who, prior to trial, had been hypnotized and questioned on the subject of his testimony?

3. Was the evidence sufficient to support the verdict?

4. Did the jury's knowledge of extraneous information deny the defendants a fair trial?

5. Was there sufficient evidence to find that the murders were committed in an especially heinous, cruel or depraved manner?

The facts necessary to a determination of this appeal are as follows. At approximately 8 A.M. on 24 May 1977, a Purolator van containing some \$328,180 in cash left Phoenix on a routine delivery to banks in various towns in northern Arizona. When the van failed to make its deliveries, the authorities were notified. The abandoned van with some \$35,150 in cash was discovered early the next day a short distance off Highway I-17.

The evidence revealed that on the morning of 24 May 1977, a number of passing motorists had noticed a Purolator van pulled over to the side of Highway I-17 by what appeared to be a police car. Some witnesses identified the two uniformed men as Michael and Patrick Poland. The evidence also showed that on 24 May 1977, Michael and Patrick Poland borrowed a pickup truck and tarpaulin from their father, George Poland. Early on 25 May 1977, Michael Poland rented a boat at the Temple Bar Marina on Lake Mead. He stated that he planned to meet his brother Patrick at Bonelli Landing, a primitive camping area on the Lake, and to do some fishing. At some point, George Poland's truck became stuck in the sand at the water's edge at Bonelli Landing with the tailgate facing the water. After their attempts to extricate it had failed, the Polands called a towing service. Stan Sekulski was the operator of the tow truck. A few days later, the Polands returned their father's truck with a new tarp, explaining the old one had been ruined when they placed it under the wheels of the truck for traction.

Three weeks later, the body of Cecil Newkirk, one of the guards on the Purolator van, surfaced on Debbie's Cove, a small inlet on the Nevada side of Lake Mead. The body was partially covered by a canvas bag. A week later, park rangers searching the area discovered the body of the other Purolator guard, Russell Dempsey, a short distance from the place Cecil Newkirk's body had been found. Autopsies revealed that the most probable cause of death was drowning, although in the case of Mr. Dempsey the pathologist was unable to rule out a heart

attack as a possible cause of death. The bodies had been in the water two weeks or longer. There was no evidence that the guards had been wounded or tied before being placed in the water. Although it was impossible to determine whether they had been drugged, there was no evidence of a struggle. Divers searching the area recovered two other canvas bags, one containing a tarp and blanket. They also brought up two revolvers, which were identified as belonging to the guards, and a license plate bearing the insignia found on Arizona Department of Public Safety automobiles. These were found near a pile of rocks which had evidently fallen out of the bag when it was recovered by a diver. The rocks were of the type found along the shore of Debbie's Cove.

Searches of the homes of Michael and Patrick Poland on 27 July 1977 revealed a number of weapons, including a taser gun, large amounts of cash, and items of police-type paraphernalia. Of particular interest were a scanner and scanner key which were capable of monitoring radio frequencies, a notebook listing local police frequencies, a receipt for a taser gun bearing the name Mark Harris, handcuff cases, and a gunbelt. Both of the rented cars of the Polands, which were light-colored Chevrolet Malibus, had siren-type burglar alarms which could be activated from inside or outside of the car. Evidence also connected the Polands to the purchase of a "light bar" or rack which could be placed on top of an automobile and would resemble a law enforcement light bar or rack. The canvas bags found in the lake were shown to have been purchased by a Mark Harris.

Although neither Michael nor Patrick Poland had regular employment, the evidence showed that they made numerous large purchases during June and July of 1977. These purchases included appliances, furniture, motorcycles, and a business. Most of the purchases were made in cash or by a cashier's check.

The Polands' defense was alibi. They both took the stand and testified that they had disguised themselves

as law enforcement officers and robbed drug dealers on three occasions in early 1977. They testified that they had also been dealing in gems for several months prior to the Purolator incident and that on 24 May 1977, had taken a load of raw turquoise to Las Vegas and returned by way of Lake Mead to do some camping.

From the jury verdicts and judgments of guilt to first degree murder of Cecil Newkirk and Russell Dempsey, sentences of death, and denial of their motion for a new trial, defendants appeal.

JURISDICTION

- a. Did the murder occur outside the jurisdiction of Arizona?

The evidence supports a finding that defendants stopped the Purolator van somewhere near the Bumble Bee exit off Highway I-17 in Yavapai County, Arizona, where they captured the two guards and took the contents of the van. The following day, defendant Michael Poland rented a boat at the Temple Bar Marina, located on Lake Mead in Mohave County, Arizona. He met his brother Patrick in the boat at Bonelli Landing, also in Mohave County. The evidence would support a finding that the defendants loaded the two guards into the boat, traveled some distance, and dumped them into the water. The bodies of the two guards were found a few miles from Bonelli Landing, in Debbie's Cove, in Clark County, Nevada. The evidence does not indicate where the deaths of the two victims actually took place.

The defense argues that, because the State had been unable to prove where the guards died, the State of Arizona has no jurisdiction to try the Polands for murder. We do not agree. Even if we assume that the actual murder took place on the Nevada side of Lake Mead, there are sufficient elements of the crime which occurred in Arizona to give the Arizona court jurisdiction.

Generally, a homicide is "committed" where the fatal wound or blow is inflicted. 40 Am.Jur.2d Homicide § 198. Jurisdiction, however, is not limited to those crimes committed totally or exclusively within the state. Jurisdiction of the Arizona courts in criminal cases extends to crimes when any element has been committed in the State of Arizona.

"A. This state has jurisdiction over an offense that a person commits by his own conduct or the conduct of another for which such person is legally accountable if:

1. Conduct constituting any element of the offense or a result of such conduct occurs within this state;
- * * *" A.R.S. § 13-108(A) (1).

When the elements of a crime are committed in different jurisdictions, any state in which an essential part of the crime is committed may take jurisdiction. *State v. Scofield*, 7 Ariz.App. 307, 438 P.2d 776 (1968). "Any element," then, can confer jurisdiction. *State v. Bussdieker*, 127 Ariz. 339, 621 P.2d 26 (1980).

The elements of first degree murder are: (1) the unlawful killing (2) of a human being (3) with malice aforethought. Former A.R.S. § 13-451(A). There was evidence of the defendants' activities in planning the crime, for example, the purchase of the canvas bags used to hold the bodies of the victims and the boat rental. These acts constituted evidence of premeditation from which the element of malice aforethought could be inferred. *State v. Tostado*, 111 Ariz. 98, 523 P.2d 795 (1974); *State v. Bustamante*, 103 Ariz. 551, 447 P.2d 243 (1968). These acts of premeditation occurred in Arizona. We hold that Arizona had jurisdiction to try the defendants.

But defendants also urge that they should not have been tried in Yavapai County because of improper venue. Defendants contend that they have a state constitutional

right to be tried in the county where the deaths occurred. The Arizona Constitution states:

"Section 24. In criminal prosecutions, the accused shall have the right * * * to have a speedy public trial by an impartial jury of the county in which the offense is alleged to have been committed, * * *." Arizona Constitution, Art. 2, § 24.

And our statute at the time of the offenses read:

"Where several acts are requisite to the commission of an offense, the trial may be in any county in which any of such acts occurs." Former A.R.S. § 13-1504(B). See present A.R.S. § 13-109(A).

In dismissing a Pima County indictment for attempted murder for hire, where the payment for the murder was made in Pinal County, our Court of Appeals stated:

"We therefore hold that under A.R.S. Sec. 13-1504 (B) the act must be one essential to the commission of the crime charged as such crime is defined by statute. In other words, the act must be part of the corpus delicti of the crime if it is to have any jurisdictional significance. (citations omitted)" *State v. Cox*, 25 Ariz.App. 328, 331, 543 P.2d 449, 452 (1975).

We believe the instant case and *State v. Cox*, supra, can be distinguished. In *Cox*, all the acts constituting the crime of attempted murder for hire occurred in Pinal County and Pima County was not the correct venue. In the instant case, the crime is premeditated murder. Premeditation is part of the corpus delicti of the crime of first degree murder and the evidence indicates that, in addition to an intent, there were numerous acts of premeditation which occurred in Yavapai County, including particularly the kidnapping of the victims. There were, then, sufficient essential acts requisite to the commission of the crime which occurred in Yavapai

County. Venue for the trial was properly in Yavapai County.

- b. Does the principle of double jeopardy bar prosecution by the State of Arizona?

Prior to the trial in the instant case, the defendants were convicted in federal court of armed robbery and kidnapping of the two guards. The trial in Arizona was for the murder of the same two guards. Defendants urge that prosecution by the State of Arizona was barred by their conviction in federal court for acts arising out of the same transaction. We do not agree.

In *Bartkus v. Illinois*, 359 U.S. 121, 79 S.Ct. 676, 3 L.Ed.2d 684 (1959), the Supreme Court of the United States held that state prosecutions of defendants who had already been prosecuted in federal court for the same acts did not violate due process. The court in *Bartkus* reasoned that an individual is a citizen of both the United States and a state or territory and is subject to the laws of both. Because a single act could violate both federal and state law, prosecutions by the state and the federal government may be based on a single act and be proven by the same facts without violating due process. The court in *Bartkus* said:

"With this body of precedent as irrefutable evidence that state and federal courts have for years refused to bar a second trial even though there had been a prior trial by another government for a similar offense, it would be [in] disregard of a long, unbroken, unquestioned course of impressive adjudication for the Court now to rule that due process compels such a bar. * * *" *Bartkus v. Illinois*, supra, 359 U.S. at 136, 79 S.Ct. at 685, 3 L.Ed.2d at 694.

Bartkus stands for the rule that, as far as the United States Constitution reaches, a defendant may, based upon the same facts, be guilty of crimes against two sovereigns

at the same time and be punished for each crime separately and without regard to the other.

Although some state courts have suggested limits to *Bartkus*, *Commonwealth v. Mills*, 447 Pa. 163, 286 A.2d 638 (1971); *State v. Fletcher*, 26 Ohio St.2d 221, 271 N.E.2d 567 (1971); *People v. Cooper*, 398 Mich. 450, 247 N.W.2d 866 (1976), we find no reason to change this long standing rule. We hold that, even if the defendants were charged and convicted upon the same set of facts that supported the federal convictions, the United States Constitution and *Bartkus* would allow the state convictions to stand.

Defendants contend, however, that the Arizona prosecution is barred by former A.R.S. § 13-146 (now A.R.S. § 13-112), which stated:

"When on the trial of an accused person it appears that upon a criminal prosecution under the laws of the United States, or of another state or country, founded upon the act or omission in respect to which he is on trial he has been acquitted or convicted, it is a sufficient defense." A.R.S. § 13-146 (now A.R.S. § 13-112).

We disagree. This is not a situation of parallel prosecutions. The prosecutions were for distinct and separate crimes occurring at different times. The federal prosecutions were for kidnapping and armed robbery, while the state prosecution was for murder. A.R.S. § 13-146 does not prevent Arizona from prosecuting the Polands for murder. See *Henderson v. State*, 30 Ariz. 113, 244 P. 1020 (1926); *State v. Wortham*, 63 Ariz. 148, 160 P.2d 352 (1945).

Defendants also urge that the State prosecution constitutes double punishment contrary to A.R.S. § 13-116. They urge that the same evidence used by the federal prosecution was "reused" to convict them of separate crimes in the state court. Under the identical elements test, evidence supporting one charge is eliminated to de-

termine whether the remaining evidence supports the elements of the additional charge. *State v. Tinghitella*, 108 Ariz. 1, 491 P.2d 834 (1971). In the instant case, as we have noted above, all three crimes have sufficient separate factual bases to stand alone. Further, the identical elements test applies only when the State seeks convictions for more than one crime arising out of the same criminal transaction. Here the State only charged the defendants with murder, and the double punishment section does not apply. We find no error.

SUPPRESSION OF PHYSICAL EVIDENCE

a. Tour of Michael Poland's house.

During the investigation of the crimes, the F.B.I. learned that the home Michael Poland was renting was for sale. Agent Gotliebson, who had been conducting a surveillance on Michael Poland's residence, contacted the realtor and, posing as a prospective home buyer, arranged to view the premises. During the tour on 24 June 1977, which included the house, garage, barn, and various shelves and closets in the house, Agent Gotliebson noted a number of firearms and two motorcycles. A search of Michael Poland's house pursuant to a warrant was executed on 27 July 1977.

Because Gotliebson gained entry by misrepresenting his identity and purpose, the defendants urge that the entry was an illegal search in violation of the Fourth and Fourteenth Amendments, and all evidence seized pursuant to the subsequent search warrant must be suppressed as fruit of the poisonous tree under *Wong Sun v. United States*, 371 U.S. 471, 83 S.Ct. 407, 9 L.Ed.2d 441 (1963).

We do not agree. The government is entitled to use decoys and to conceal the identity of its agents, *Lewis v. United States*, 385 U.S. 206, 87 S.Ct. 424, 17 L.E.2d 312 (1966), and law enforcement officers may pose as potential buyers to investigate illegal firearms, *United*

States v. Ressler, 536 F.2d 208 (7th Cir. 1976); or narcotics, *United States v. Glassel*, 488 F.2d 143 (9th Cir. 1973). They may also state that they are on some other business to gain access to property or induce the suspect to open the door. For example, law enforcement officials posed as a hotel manager in *State v. Sardo*, 112 Ariz. 509, 543 P.2d 1138 (1975); a friend in *United States v. Raines*, 536 F.2d 796 (8th Cir. 1976); a motorist with car trouble in *United States v. Wright*, 641 F.2d 602 (8th Cir. 1981); and a potential Ku Klux Klan member in *United States v. Bullock*, 590 F.2d 117 (5th Cir. 1979).

The only limitation appears to be that the agent is limited to conduct which would be normal for one adopting the disguise used in seeking entry:

“When an agent assumes a particular pose in order to gain entry into certain premises and then obtains information by engaging in *activity not generally expected of one assuming that pose*, that information is illegally obtained * * *.” *United States v. Ressler*, *supra*, at 211. (emphasis added)

In the instant case, the agent saw what would normally be seen by any prospective buyer inspecting the house. The defendant, however, urges that the reasonableness of the search accomplished through deception depends upon whether the agents were present for purposes contemplated by the occupant. We do not agree. The Court in *Lewis*, *supra*, did consider it relevant that the official was on the premises “for the very purposes contemplated by the occupant.” However, defendant’s reliance on the *purpose* as the distinguishing factor between permissible and impermissible searches is, we believe, misplaced. In the case of a deceitful entry, the law enforcement agent’s purpose will, by definition, be different than that contemplated by the suspect. In the instant case, the agent may see only what any prospec-

tive buyer would expect to see. To hold that the validity of the search in the case of deceitful entry depends upon whether the purpose of the agent in entering the premises was the same as the reason the suspect allowed him to enter, would make all deceitful entry searches unconstitutional. The distinction, then, between permissible and impermissible intrusions turns on what the suspect, as a result of the agent's deceit, has chosen to show to the one entering the premises. The United States Supreme Court has stated:

"* * * the Fourth Amendment protects people not places. What a person knowingly exposes to the public, even in his own home or office, is not a subject of Fourth Amendment protection." *Katz v. United States*, 389 U.S. 347, 351, 88 S.Ct. 507, 511, 19 L.Ed.2d 576, 582 (1967).

We hold that the entry did not constitute an unreasonable search.

b. Sufficiency of the search warrant affidavit

During the preliminary investigation of the crimes, the Poland brothers emerged as suspects. The F.B.I. formulated the theory that the Polands, disguised as law enforcement officials and driving what appeared to be a police vehicle, had pulled over the Purolator van on Highway I-17 and stolen the cash it was carrying. The F.B.I. suspected that the Polands overpowered the guards and took them to Lake Mead, where they dumped them into the water. To substantiate this theory, the F.B.I. sought search warrants for the homes, cars, rented storage lockers, and persons of Michael and Patrick Poland, and the home and truck of their father, George Poland. The affidavit for a search warrant requested authorization to seize, among other things, currency, money bags, police-type wearing apparel and paraphernalia, weapons, cloth bags large enough to place over an individual, and

receipts of expenditures. The affidavit executed by F.B.I. Special Agent John Oitzinger runs more than four typed pages, detailing the facts of the crimes and findings of the investigation. The affidavit included the report of a tracker regarding wheel tracks on the shoulder of I-17 where the F.B.I. believed the van was stopped and statements of witnesses who saw a "police car" and the van pulled off the road. It also included statements of the individual who rented a boat to Michael Poland. The affidavit noted that collect calls were made from the Bumble Bee area to Patrick Poland's home on two occasions prior to the crimes. It alleged that neither Michael nor Patrick Poland had worked at regular employment recently, but that both had made substantial purchases in the two months following the crimes. We believe that the recital of facts in the affidavit was sufficient to support the issuance of the warrant.

Defendants contend, however, that some of the statements in the affidavit were made in reckless disregard of the truth. Two weeks after the crime, the boat that was rented by Michael Poland on 25 May 1977 was identified and impounded by the F.B.I. A routine report was prepared by Special Agent Oldham, in which he stated that there was a "small red stain" on the bottom of the scoop which had been found in the boat. In preparing his affidavit for the search warrant, Agent Oitzinger reviewed the reports, examined the scoop, and wrote the following description:

"Some hairs and fibers and blood found on a plastic half gallon container with the bottom cut off (probably used for the purpose of bailing water) and an empty Coors beer can were retained as evidence."

Several days after the affidavit was signed, Agent Oitzinger received the results of the tests conducted by the F.B.I. Laboratory in Washington, D.C., which indicated that the scoop contained no hair, fibers, or blood.

Defendants, citing *Franks v. Delaware*, 438 U.S. 154, 98 S.Ct. 2674, 57 L.Ed.2d 667 (1978), urge that the statement that the scoop contained blood was a knowing or intentional falsehood, or, alternatively, that it was made with a reckless disregard for its truth or falsity. They contend that evidence of blood is so prejudicial in a murder investigation that it contributed substantially to a finding of probable cause. They conclude that the search warrant based on false information was invalid and that all evidence seized pursuant to it must be suppressed.

In *Franks v. Delaware*, supra, the United States Supreme Court held that a defendant may attack a search warrant affidavit when probable cause was based on intentional or reckless falsehood. If the defendant is able to make a substantial preliminary showing that the false statement was made knowingly and intentionally, or with reckless disregard for the truth and that the false statement is necessary to a finding of probable cause, the defendant is entitled to a hearing. If at the hearing defendant proves perjury or reckless disregard by a preponderance of the evidence, the false statement is excised from the affidavit. The affidavit's remaining content must be sufficient to establish probable cause, or the search warrant is voided and evidence seized pursuant to it excluded. *United States v. Young Buffalo*, 591 F.2d 506 (9th Cir. 1979).

In the instant case, Oitzinger admitted that the portion of the affidavit alleging that there was blood on the scoop was false but not intentionally or recklessly false. He testified concerning the preparation of the affidavit:

"Q And that was not true with respect to the blood sample that was included in the affidavit, the reference to the blood sample, was it?

"A At the time I reported that I wasn't sure. I thought it was blood.

* * * *

"BY MR. EATON: It wasn't the truth, was it?

"A At the time I thought it was.

"Q It was not the truth, was it? Answer the question yes or no.

"A At the time I thought it was the truth.

"Q All right. You had no expert information which you bothered to consult which would have told you whether or not that statement that you were making in the affidavit was the truth, isn't that correct?

"A It turns out it was not the truth.

"Q And you didn't think that was reckless conduct on your part?

"A No, I do not.

We do not believe that Agent Oitzinger's failure to obtain the test results before signing the affidavit constituted reckless disregard for the truth. In *United States v. Davis*, 617 F.2d 677 (D.C.Cir.1979), the court defined reckless disregard for the truth by analogy to the law of defamation. Citing *St. Amant v. Thompson*, 390 U.S. 727, 88 S.Ct. 1323, 20 L.Ed.2d 262 (1968) and *Herbert v. Lando*, 441 U.S. 153, 99 S.Ct. 1635, 60 L.Ed. 2d 115 (1979), the *Davis* court found that the affiant acted with reckless disregard if he "in fact entertained serious doubts as to the truth of his publication." This could be shown by actual deliberation or by "obvious reasons to doubt the veracity of the informant or the accuracy of his reports." *Davis*, supra at 694. Agent Oitzinger's testimony indicates that he did not entertain serious doubts as to the truth of his affidavits and we agree. However, even if we believe that the actions of the agent constituted a reckless disregard for the truth, the affidavit's remaining contents are sufficient to establish probable cause. *United States v. Young Buffalo*, supra. We find no error.

c. Was the search warrant based on improper post-hypnotic statements?

Defendants next challenge the use of post-hypnotic statements made by Stan Sekulski, a witness for the prosecution, who towed George Poland's truck out of the sand at Bonelli Landing on 25 May 1977. Defendants cite *State v. La Mountain*, 125 Ariz. 547, 611 P.2d 551 (1980) and *State v. Mena*, 128 Ariz. 226, 624 P.2d 1274 (1981) for the proposition that statements by a witness who has been hypnotized are unreliable and inadmissible in criminal cases. We have not precluded, however, the use of hypnosis for the purpose of finding probable cause for the issuance of a search warrant. As we noted:

"* * * Although we perceive that hypnosis is a useful tool in the investigative stage, we do not feel the state of the science (or art) has been shown to be such as to admit testimony which may have been developed as a result of hypnosis. * * *" *State v. La Mountain*, supra, 125 Ariz. at 551, 611 P.2d at 555.

And again:

"In conclusion, the use of hypnosis during the investigative stage is permissible if used with great reserve by trained personnel with reasonable safeguards." *State ex rel. Collins v. Superior Court*, 132 Ariz. 180, 187, 644 P.2d 1266, 1273 (filed 7 January 1982). On 2 March 1982, the Motion for Rehearing was granted in *State ex rel Collins v. Superior Court* to reconsider the hypnotism issue.

Whatever the rule may be regarding hypnotically induced testimony at trial, we have not excluded hypnotically produced statements to determine probable cause for a search warrant. Such statements, like hearsay, if properly corroborated, are not unreliable and may be used to find probable cause for the issuance of a search warrant. We find no error.

d. Seizure of the taser gun, scanner, and scanner key.

During the search of Mike Poland's home, on 26 July 1977, F.B.I. agents found a receipt from a gunshop for a taser gun, a weapon which temporarily paralyzes the victim with an electrical charge. The name on the receipt was Mark Harris. They also discovered a scanner, which is an instrument used to monitor radio frequencies. At Patrick Poland's house, they found a scanner key. These items were retained as evidence and later introduced at trial. Defendants contend that these items were neither contraband nor listed in the search warrant and therefore were illegally seized. Because the link of the items to the crime was speculative, defendants argue that the items were unduly prejudicial and should have been suppressed at trial.

Arizona law provided that evidence may be seized even though it is not listed in the search warrant. Former A.R.S. § 13-1446(C) stated:

"A peace officer executing a search warrant may seize any property discovered in the course of the execution of such warrant if he has reasonable cause to believe that such item is subject to seizure under § 13-1442, even if such property is not enumerated in the warrant."

The F.B.I. investigation had revealed that the robbery of the Purolator van had been committed by people posing as law enforcement officials. Evidence of the defendants' capability to monitor police radio frequencies was therefore relevant. The taser gun receipt also indicated that it had been purchased by an alias or accomplice, suggesting that it may have been purchased in contemplation of the crime or by another involved in the crime. We hold that the receipt for the taser gun, scanner, and scanner key were seizable under former A.R.S. § 13-1446(C).

Defendants, however, challenge the seizure on United States constitutional grounds, urging that seizure of items

unnamed in the warrant constituted a general search which is proscribed by the Fourth and Fourteenth Amendments. We do not agree. Evidence may be seized if it is reasonably related to the crime, even if not listed in the search warrant. See *Coolidge v New Hampshire*, 403 U.S. 443, 91 S.Ct. 2022, 29 L.Ed.2d 564 (1971). We have stated:

“The record clearly supports the conclusion that the officers were on Scigliano’s premises pursuant to execution of a valid search warrant and that the challenged items * * * were found during a limited search which was reasonably calculated to locate items actually named in the warrant, as opposed to a general exploratory search of the premises. We also believe that the facts surrounding the search * * * provided a sufficient nexus between the disputed items and the crime for which the warrant was issued, so that the officers had probable cause to believe that those items were ‘reasonably related’ to the crime.” *State v. Scigliano*, 120 Ariz. 6, 9, 583 P.2d 893, 896 (1978). See also *State v. Smith*, 122 Ariz. 58, 593 P.2d 281 (1979); *State v. Shinault*, 120 Ariz. 213, 584 P.2d 1204 (App.1978).

We hold that the receipt for the taser gun, the scanner, and the scanner key were properly seized and admitted at trial.

e. Admissibility of the taser gun.

Defendants challenge the admissibility of the taser gun, arguing that its connection to the crimes was never proven and therefore that its probative value was greatly outweighed by its prejudicial effect.

The initial question is whether the gun was relevant to issues in the case. Rule 401, Arizona Rules of Evidence, 17A A.R.S. states:

“‘Relevant evidence’ means evidence having any tendency to make the existence of any fact that is

of consequence to the determination of the action more probable or less probable that it would be without the evidence.”

We do not believe that the taser gun was relevant to a determination of the facts in this case. Admission into evidence of weapons which are not connected with the crime can be prejudicial to the defendant and has been held to be reversible error. *United States v. Green*, 648 F.2d 587 (9th Cir. 1981); *United States v. Warledo*, 557 F.2d 721 (10th Cir. 1977). In the instant case, the State did not connect the weapon to the crime, and it was an abuse of discretion to admit the taser gun into evidence.

f. Admissibility of post-hypnotic statements at trial.

Defendants also argue that Mr. Sekulski's post-hypnotic testimony should have been excluded at trial, citing *State v. Mena*, 128 Ariz. 226, 624 P.2d 1274 (1981) and *State v. La Mountain*, 125 Ariz. 547, 611 P.2d 551 (1980). *Mena* and *La Mountain* were both decided by this court after the trial in the instant case. Upon retrial, we assume that the trial court will comply with the decisions of this court concerning the admissibility of hypnotically induced testimony. See *State ex rel. Collins v. Superior Court*, supra.

SUFFICIENCY OF THE EVIDENCE

Pointing to a number of gaps in the State's case, the defendants argue that there was insufficient evidence to support the verdict. If there was insufficient evidence to support a conviction, it would not be proper to remand for a new trial as the double jeopardy clause of the Fifth Amendment precludes a second trial after appeal where there was insufficient evidence to sustain the verdict. *Burks v. United States*, 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978).

We find that there was substantial evidence to support the jury's verdict. Defendants were linked to purchases of weapons, canvas bags, and police-type paraphernalia. Their own testimony placed them on the highway on the day of the robbery and at Lake Mead renting a boat on the following day. Though unemployed, both began paying off bills and making large cash purchases shortly after the robbery. Where there exists "substantial evidence from the entire record from which a rational trier of fact could have found guilt beyond a reasonable doubt," we will uphold the verdict. *State v. Schad*, 129 Ariz. 557, 572, 633 P.2d 366, 381 (1981). The jury chose to believe the evidence offered by the State, and to disbelieve the alibis of the defendants. This was their prerogative. *State v. Pieck*, 111 Ariz. 318, 529 P.2d 217 (1974). There was sufficient evidence upon which the trier of fact could find the defendants guilty. The defendants may be retried. *Burks*, supra. We find no error.

JURY MISCONDUCT

Rule 24.1(c), Arizona Rules of Criminal Procedure, 17 A.R.S., provides, in part, that the court may grant a new trial when:

"(3) A juror or jurors have been guilty of misconduct by:

(i) Receiving evidence not properly admitted during the trial;

* * * *

(iii) Perjuring himself or willfully failing to respond fully to a direct question posed during the voir dire examination;"

And subsection (d) provides:

"d. Admissibility of Juror Evidence to Impeach the Verdict

"Whenever the validity of a verdict is challenged under Rule 24.1(c) (3), the court may receive the testimony or affidavit of any witness, including members of the jury, which relates to the conduct of a juror, official of the court, or third person. No testimony or affidavit shall be received which inquires into the subjective motives or mental processes which led a juror to assent or dissent from the verdict." Rule 24.1(c & d), Arizona Rules of Criminal Procedure, 17 A.R.S.

Inquiry into jury misconduct was limited at common law by the rule that a juror who has agreed to the verdict in open court may not later impeach his own verdict. *State v. Cookus*, 115 Ariz. 99, 563 P.2d 898 (1977). The policy was to protect the process of frank and conscientious jury deliberations and the finality of jury verdicts. See Carlson and Sumberg, *Attacking Jury Verdicts: Paradigms for Rule Revision*, 1977 Ariz. State L.J. 247. However, when jury misconduct results in prejudicial influences on the jury, the defendant might be deprived of procedural safeguards afforded by a trial, the right to counsel, to confront witnesses against him, and to choose not to take the stand on his own behalf. *Parker v. Gladden*, 385 U.S. 363, 87 S.Ct. 468, 17 L.Ed. 2d 420 (1966); *Turner v. Louisiana*, 379 U.S. 466, 85 S.Ct. 546, 13 L.Ed.2d 424 (1965); *State v. Skinner*, 108 Ariz. 553, 503 P.2d 381 (1972). Therefore, our rules now provide that juror testimony is admissible to impeach a verdict, but only for the types of jury misconduct enumerated in Rule 24.1(c) (3), Arizona Rules of Criminal Procedure, 17 A.R.S., and in the manner provided by subsection (d), *supra*. See Comment to Rule 24.1; *State v. Rose*, 121 Ariz. 131, 589 P.2d 5 (1978). See also American Bar Association Standards Relating to Trial by Jury, § 5.7 (Approved Draft, 1968); *State v. Landrum*, 25 Ariz.App. 446, 544 P.2d 270 (1975). In the instant case, affidavits and testimony by the jurors were admissible to show specific instances of jury misconduct.

a. Considering evidence not admitted at the trial.

Prior to trial and again before deliberations, the jury had been admonished and instructed "you must determine the facts only from the evidence produced in court." During deliberations, one juror looked up Harris names in the Phoenix telephone directory. Juror Phyllis Clemmer testified:

"Q Mrs. Clemmer, tell us if you will in your own words as best you can about the phone book matter relating to, number one, the name Mark Harris, and, number two, Phoenix Tent and Awning?

"A Gail Peoples said during the deliberations, well, I wonder how many Mark Harrises there are in Phoenix, and I said, well, I have a Phoenix phone book at home, I will look it up for you. So I looked it up that night and in the morning I said that there are four Mark Harrises listed in the Phoenix phone book. This was a 1979 phone book. And Gail was so speculative about whether or not the bags had been made at Phoenix Tent and Awning, and I said, well, I lived there for an awful lot of years and I don't know of another tent and awning manufacturer in Phoenix, so they must have been made there.

So while I was looking in the phone book I looked under tent and awning and found several retail places—several places that rented tarps and canvas products, but only one manufacturer which was a fact that I was already sure of in my mind; that is all I did.

"Q And did you relate something back to the jury at all one way or the other about the Phoenix Tent and Awning?

"A Just that was the only manufacturer listed."

Mark Harris was the name found on the taser gun and canvas bag receipts. Phoenix Tent and Awning, the business which allegedly made the canvas bags found with

the victims, was the only manufacturer of canvas bags in the Phoenix area. She reported her findings to the jury. Defendants contend that this evidence was not properly before the jury, was prejudicial, and mandated a new trial under Rule 24.1(c) (3) (i), Arizona Rules of Criminal Procedure, 17 A.R.S.

The information found in the Phoenix telephone book by Juror Clemmer clearly qualifies as evidence not properly admitted during the trial. Rule 24.1(c) (3) (i), Arizona Rules of Criminal Procedure, 17 A.R.S. Our Court of Appeals has stated:

"The jury may consider only matter that has been received in evidence and any breach of this principle should not be condoned if there is the slightest possibility that harm could have resulted." *State v. Turrentine*, 122 Ariz. 39, 41, 592 P.2d 1305, 1307 (App. 1979).

The question is whether the fact that this evidence was before the jury requires reversal. Not all extraneous information is so prejudicial as to require reversal. The standard enunciated by the Ninth Circuit is that the defendant is entitled to a new trial if it cannot be concluded beyond a reasonable doubt that the extrinsic evidence did not contribute to the verdict. *United States v. Vasquez*, 597 F.2d 192 (9th Cir. 1979); *Gibson v. Clanon*, 633 F.2d 851 (9th Cir. 1980) cert. denied 450 U.S. 1035, 101 S.Ct. 1749, 68 L.Ed.2d 231 (1981). We adopt the reasonable possibility standard applied by the Ninth Circuit as an appropriate balancing test and in harmony with the standards applied in other circuits. See, e.g., *Bulger v. McClay*, 575 F.2d 407 (2nd Cir. 1978), cert. denied sub. nom. *Ward v. Bulger*, 439 U.S. 915, 99 S.Ct. 290, 58 L.Ed.2d 263, "Significant possibility of prejudice"; *Virgin Islands v. Gereau*, 523 F.2d 140 (3rd Cir. 1975), cert. denied 424 U.S. 917, 96 S.Ct. 1119, 47 L.Ed.2d 323 (1976), "prima facie incompatible with the Sixth Amendment"; *United States v. Marx*, 485 F.2d 1179

(10th Cir. 1973), cert. denied 416 U.S. 986, 94 S.Ct. 2391, 40 L.Ed.2d 764 (1974), "slightest possibility that harm could have resulted"; *United States v. Thomas*, 463 F.2d 1061 (7th Cir. 1972) and *Osborne v. United States*, 351 F.2d 111 (8th Cir. 1965), "might have operated to the substantial injury of the defendant"; *Farese v. United States*, 428 F.2d 178 (5th Cir. 1970), "reasonable possibility that information affected the verdict."

The finding of four Mark Harrises in the Phoenix telephone book does not appear to have had any prejudicial impact on the minds of the jurors, and we can conclude beyond a reasonable doubt that information concerning Phoenix Tent and Awning did not contribute to the verdict. *Vasquez*, supra.

A more serious matter, however, concerns evidence of defendant's prior convictions. Prior to trial, the trial court ruled to exclude, as prejudicial, evidence of defendants' prior federal convictions. The defendants' federal convictions for robbery and kidnapping were based upon evidence leading up to the state prosecution for murder. Evidence of the prior convictions did not come in at trial, although there were references by both parties to prior proceedings related to the case. Nevertheless, evidence developed at the hearing on the motion for new trial indicated that some of the jurors found out that the defendants had been convicted in the prior proceedings and were currently serving sentences. Several jurors were called regarding this information. Juror Gail Lynn Peoples testified:

"Q You have provided an Affidavit to the Court detailing occurrences which you observed during the jury deliberations in that particular matter?

"A Yes, sir.

"Q Mrs. Peoples, without indicating in detail what you have already supplemented to the Court or submitted to the Court, during the course of the deliberations, were statements made concerning the

prior convictions of Michael Poland and Patrick Poland?

"A Yes, they were.

"Q Do you recall when those statements were made?

"A They were made—I do recall specifically that they were made on the first day of deliberation, which was Friday, I believe, and I am not sure about Saturday, but I know for sure on Friday.

"Q Drawing your attention to that Friday, which was the day after Thanksgiving, could you describe for the Court the context in which these discussions concerning or the mention of the prior conviction came up?

"A Okay, at that point the vote was ten to two—

* * * *

"Q Describe for the Court the context in which the mention of the prior conviction first came up on Friday?

"A Exactly what was said, is that what you mean?

"Q Yes.

"A I am not sure who initiated the statement. I know that Mrs. Clemmer did say that it isn't as if they were going to go free, because they have already been sentenced to a hundred years.

"Q Did she say anything further along that line?

"A No, that is all I recall.

"Q Did this discussion occur early in the day or late in the day?

"A Late.

* * * *

"Q When did the mention of the prior conviction come up again?

"A Okay. I don't remember exactly who said it or what exactly was said, but there were comments made about it. One of the jurors said if they were

found guilty before, then the other jury must have had more evidence than we have.

"Q Do you recall on what day this discussion occurred?

"A I believe it was on Saturday."

And Orval Anderson testified:

"Q Mr. Anderson, during the course of the deliberations, did the subject of the prior conviction of the Poland brothers come up?

"A Yes, at one time it did.

* * * *

"THE COURT: Did you say that you did not recall who made the statement—do you have any recollection at all who may have made it?

"THE WITNESS: You mean the statement about the prior?

"THE COURT: Yes.

"THE WITNESS: No, Your Honor, I can't remember who said—the only reason I can remember it, they were trying to get me to change my decision and it had nothing to do with my decision, but I can't remember.

"THE COURT: Now, were you one of the jurors, Mr. Anderson, who in the selection process testified that you had some recollection of a prior proceeding?

"THE WITNESS: No."

Two other jurors, Green and Markides, testified that the defendants' prior convictions were discussed.

On the contrary, Juror Phyllis Clemmer testified:

"Q And were you present during the two days of deliberation, ma'am?

"A Yes.

"Q Were you present for the entire deliberative process?

"A Yes, I was.

"Q When you went into that jury room, did you know that there had been in fact another trial and that the defendants had in fact been convicted?

"A No, I did not.

"Q At any time during the two days, ma'am, at which you were in the jury room, did you ever overhear anyone else say that these defendants had been convicted in another trial?

"A No, I did not.

"Q And specifically, Mrs. Clemmer, did you ever say, to yourself, Phyllis Clemmer ever say that they weren't going free because they had already served a hundred years in federal court?

"A No, I did not say that because I didn't know it."

Jurors Tackitt, Cutbirth, Herman, Wright, Robertson, and Lorencen also testified that the matter had never come up during juror deliberations. There were, then, 4 jurors who testified that mention of the defendants' prior convictions had been discussed during juror deliberations and 7 testified that no mention was made of the prior convictions. Defendants urge that the presence of this inadmissible evidence during deliberations requires a new trial and we agree.

Since the federal convictions were based on the same series of acts as were at issue in the state prosecution, evidence of the prior convictions is inherently prejudicial. Testimony of several of the jurors indicates that the information was mentioned in the jury room. The knowledge that another jury considered the same evidence against defendants and found them guilty was bound to have influence on the jury. We cannot conclude beyond a reasonable doubt that this evidence did not contribute to the verdict. *Vasquez, supra*. The matter will have to be reversed and remanded for a new trial.

AGGRAVATING CIRCUMSTANCES

In sentencing defendants, the trial judge found the following aggravating circumstances to exist:

“13-454(E) (6). The defendant committed the offense in an especially heinous, cruel, or depraved manner.”

Finding no mitigating circumstances sufficiently substantial to call for leniency, the trial court imposed the death penalty pursuant to A.R.S. § 13-454(D).

In interpreting the aggravating circumstances that the offense was committed in an especially heinous, cruel, or depraved manner, we have stated:

“* * * the cruelty referred to in the statute involved the pain and the mental and physical distress visited upon the victims. Heinous and depraved as used in the same statute meant the mental state and attitude of the perpetrator as reflected in his words and actions.” *State v. Clark*, 126 Ariz. 428, 436, 616 P.2d 888, 896 (1980), cert. denied 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612.

We do not believe that the evidence so far produced in this case shows that the murders were cruel. We have interpreted “cruel” as “disposed to inflict pain esp. in a wanton, insensate or vindictive manner: sadistic.” *State v. Lujan*, 124 Ariz. 365, 372, 604 P.2d 629, 636 (1979), quoting Webster’s Third New International Dictionary. There was no evidence of suffering by the guards. The autopsy revealed no evidence that they had been bound or injured prior to being placed in the water, and there was no sign of a struggle. Cruelty has not been shown beyond a reasonable doubt. *State v. Lujan*, supra; *State v. Ortiz*, Ariz., 639 P.2d 1020 (1981); *State v. Bishop*, 127 Ariz. 531, 622 P.2d 478 (1980); *State v. Knapp*, 114 Ariz. 531, 562 P.2d 704 (1977), cert. denied 435 U.S. 908, 98 S.Ct. 1458, 55 L.Ed.2d 500 (1978).

Neither does the evidence support a finding that the murders were heinous or depraved. These terms were defined in *State v. Lujan*, supra:

"heinous: hatefully or shockingly evil: grossly bad

* * * *

"depraved: marked by debasement, corruption, perversion or deterioration." 124 Ariz. at 372, 604 P.2d at 636.

The issue focuses on the state of mind of the killer. *State v. Lujan*, supra. The difficulty in making this determination in the case at bar is that there is very little evidence in the record of the exact circumstances of the guards' deaths. Although defendants' state of mind may be inferred from their behavior at or near the time of the offense, *State v. Lujan*, supra, we know nothing of the circumstances under which the guards were held hostage.

The State must prove the existence of aggravating circumstances beyond a reasonable doubt. *State v. Jordan*, 126 Ariz. 283, 614 P.2d 825, cert. denied 449 U.S. 986, 101 S.Ct. 408, 66 L.Ed.2d 251 (1980). We do not believe it has been shown beyond a reasonable doubt that the murders were committed in an "especially heinous, cruel or depraved manner."

We do note, however, that the trial court mistook the law when it did not find that the defendants "committed the offense as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value." A.R.S. § 13-454(E)(5). In so holding the trial judge stated:

"5. The court finds the aggravating circumstances in § 13-454E(5) is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00.

"This, then, would be an aggravating circumstance."

It was not until after the trial in this case that we held, in *State v. Clark*, supra, that A.R.S. § 13-454(E) (5) was not limited to "murder for hire" situations, but may be found where any expectation of financial gain was a cause of the murder. Upon retrial, if the defendants are again convicted of first degree murder, the court may find the existence of this aggravating circumstance.

Reversed and remanded for new trial pursuant to this opinion.

HOLOHAN, C. J., GORDON, V. C. J., and HAYS and FELDMAN, JJ., concur.

IN THE SUPERIOR COURT
OF THE STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

No. 8850

STATE OF ARIZONA, PLAINTIFF

—vs—

MICHAEL KENT POLAND and
PATRICK GENE POLAND, DEFENDANTS

**NOTICE OF INTENT TO SEEK THE DEATH SENTENCE
AND SENTENCING MEMORANDUM**

Comes now the State of Arizona, by and through its attorney undersigned, and hereby notifies the defendants that it intends to seek the sentence of death for the charge of murder, first degree. The reasons are set out in the attached memorandum.

Respectfully submitted this 7 day of December, 1982.

CHARLES R. HASTINGS
Yavapai County Attorney

/s/ A. Melvin McDonald
A. MELVIN McDONALD
Special Yavapai Deputy
County Attorney

/s/ W. Ronald Jennings
W. RONALD JENNINGS
Special Yavapai Deputy
County Attorney

/s/ Steven J. Twist
STEVEN J. TWIST
Special Yavapai Deputy
County Attorney

MEMORANDUM

Ariz.Rev.Stat. Ann. § 13-454(D) provides that the trial court shall impose the sentence of death if it finds the existence of one or more aggravating circumstances set out in § 13-454(E) and, after considering anything the defendant offers in mitigation, it finds no mitigation sufficiently substantial to call for leniency.

A. Prior Conviction of Patrick Poland

The aggravating circumstance set out in Ariz.Rev.Stat. Ann. § 13-453(E) (2) provides:

2. The defendant was previously convicted of a felony in the United States involving the use or threat of violence on another person.

Defendant PATRICK POLAND was convicted of Bank Robbery and Use of a Dangerous Weapon in Bank Robbery in violation of Title 18, United States Code, Sections 2113(a) and 2113(d) in United States District Court on October 5, 1981. He was sentenced by Judge Hardy to fifteen years imprisonment. The indictment alleged that PATRICK POLAND

. . . willfully and unlawfully, by force, violence and intimidation, did take from the person and presence of Alison Elizabeth Waite and Patricia Griffin, approximately One Thousand Three Hundred Seventy Four Dollars (\$1,374.00) in money belonging to and in the care, custody, control, management and possession of the Greater Arizona Savings and Loan Association, 2335 E. Camelback Road, Phoenix, Arizona, the deposits of which were insured by the Federal Savings and Loan Insurance Corporation. PATRICK GENE POLAND, in committing this offense, did assault Alison Elizabeth Waite and Patricia Griffin, and put their lives in jeopardy by means and use of a dangerous weapon, that is, a handgun.

The crime of use of a dangerous weapon in Bank Robbery clearly involves the "use or threat of violence against another person" as required Ariz.Rev.Stat.Ann. § 13-453(E)(2). Moreover, the facts alleged in the indictment against PATRICK POLAND which were provided by the Government at trial specifically indicate the threat or use of violence during the crime. Accordingly, PATRICK POLAND's prior conviction is an aggravating circumstance which must be taken into account in deciding whether to impose the death penalty against PATRICK POLAND. See *State v. Tison*, 129 Ariz. 526, 544, 633 P.2d 335, 353 (1981); *State v. Jordan*, 126 Ariz. 283, 287, 614 P.2d 825, 829 (1980); *State v. Steelman*, 126 Ariz. 19, 24, 612 P.2d 475, 489 (1980); *State v. Evans*, 120 Ariz. 158, 162, 584 P.2d 1149, 1153 (1978).

B. *Murder for Pecuniary Gain*

Ariz.Rev.Stat.Ann. § 13-453(E)(5) provides for the following aggravating circumstances:

5. The defendant committed the offense as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value.

In *State v. Clark*, 126 Ariz. 428, 616 P.2d 888, cert. denied 101 S.Ct. 796 (1980), the Arizona Supreme Court clearly stated that this section making pecuniary value an aggravating factor was not limited to a hired gun situation but extended to a case in which the defendant killed the victims and then stole their credit cards, money, diamond rings and automobile.

It is submitted that MICHAEL and PATRICK POLAND are both subject to this aggravation factor, in the instant case. The conduct by defendants was even more egregious than that in *Clark*. MICHAEL and PATRICK POLAND meticulously planned and carried out the robbery of the Purolator Van, which netted the POLANDS a sum in excess of \$250,000. The evidence

showed that the POLANDS surveilled the route the Purolator Van took as it made its regular run to Northern Arizona. They purchase specially made bags—six feet long and three feet in circumference—before the robbery of the van. It is surely more than mere coincidence that both guards were under 6 feet tall—a circumstance the POLANDS could observe during their meticulous surveillance of the van. Those bags were used to drown the two Purolator Guards—a clear indication that the POLANDS not only planned the robbery, but carefully planned the murder of the two guards as well. Thus, the murder of Russell Dempsey and Cecil Newkirk was not merely incidental to the robbery of the purolator van, but was an integral part of the POLAND's plan to steal the money. Surely, this is precisely the sort of circumstance that the pecuniary gain aggravating factor is intended to encompass. Thus, murder for pecuniary gain is an aggravating factor in both MICHAEL POLAND's and PATRICK POLAND's case. *State v. Clark*, supra, *State v. Poland*, — Ariz. — — — —, 645 P.2d 784, 800 (1982).

C. *The Heinous and Depraved manner in which the Guards were murdered.*

Ariz.Rev.Stat. Ann. § 13-453(E)(6) provides for yet another aggravating factor:

6. The defendant committed the offense in an especially heinous, cruel or depraved manner.

The presence of any one of these three elements is sufficient to show the existence of this circumstance. *State v. Vickers*, 129 Ariz. 506, 515, 633 P.2d 315, 324 (1981); *State v. Clark*, 126 Ariz. 428, 436, 616 P.2d 888, 896 (1980).

"Cruelty" involves pain and mental and physical distress of the victims; "heinous" and "depraved" refer to the mental state of the killer as shown by his words and

actions. *State v. Clark*, supra, *State v. Tison*, supra. In *State v. Lujan*, 124 Ariz. 365, 372, 604 P.2d 629, 636 (1979), the Court defined "heinous" as "hatefully or shockingly evil: grossly bad" and "depraved" as "marked by debasement, corruption, perversion or deterioration."

It is submitted that MICHAEL POLAND and PATRICK POLAND murdered the two guards in a heinous and depraved manner. Witness Sheldon Green, the medical examiner, testified that victim Cecil Newkirk's cause of death was drowning and the probable cause of victim Russell Dempsey's death was drowning. The only reason Dr. Green qualified his opinion in the second case was because Dempsey had severe hardening of the coronary arteries and that one artery showed evidence of having been partially blocked by a clot. The bodies were found floating near the Nevada shore of Lake Mead, partially encased in canvas bags; bags which were earlier purchased by the defendants. Thus, the circumstances leading up to the guards' deaths can be deduced. The defendants placed the guards in canvas bags and dumped the bags into Lake Mead. The helpless victims were left to drown. Surely the fact that the bags were purchased with the intent to put the guards in them substantially before the actual murder indicates a depraved state of mind on the part of defendants. Moreover, drowning the victims as opposed to a quick means of death such as shooting, indicates the coldness of heart and lack of conscience that is the hallmark of a heinous mind. See *Burger v. State*, 245 Ga. 458, 265 S.E.2d 796 (1980).

Moreover, the method of death inflicted upon Russell Dempsey and Cecil Newkirk was cruel. Witness James Stewart, diving officer for the Scripps Institute of Oceanography, described what it was like to drown:

"Well, if you are a water person, they are just scary as the devil. Your lungs feel like they are going to burst. You go into an involuntary respiratory spasm. You try to suck air."

The defense may attempt to argue that there is no evidence that the victims apprehended any imminent death and therefore the killing was not cruel. This argument conveniently neglects the fact that although the van was stopped at approximately 9:00 a.m. on May 24, 1977, the guards were not murdered until sometime during the morning of May 25. Thus, a period of nearly 24 hours elapsed from the time the guards were first robbed—a period during which Dempsey and Newkirk were justifiably in fear for their lives. Moreover, the defense stipulated that the blood found on the floor of the Purolater Van was the same type as that of one of the guards. The inference is clear that guard, Russell Dempsey, suffered violence substantially before he was drowned by the defendants. Surely the physical pain suffered by Dempsey and the mental apprehension of the guards during the robbery and the time that elapsed before they were dumped in the lake that their lives were indeed in jeopardy indicates a cruel manner of death. *Burger v. State*, supra, *State v. Tison*, supra.

Conclusion

The state has shown three aggravating factors for defendant PATRICK POLAND and two aggravating factors for defendant MICHAEL POLAND. No mitigation can outweigh any of these aggravating circumstances, and the law says the death penalty is mandatory, not discretionary. *State v. Blazak*, 114 Ariz. 199, 205-06, 560 P.2d 54, 60-61 (1977). It is respectfully submitted that the penalty of death for MICHAEL POLAND and PATRICK POLAND is appropriate in this case.

Respectfully submitted this 7 day of December, 1982.

CHARLES R. HASTINGS
Yavapai County Attorney

/s/ A. Melvin McDonald
A. MELVIN McDONALD
Special Yavapai Deputy
County Attorney

/s/ W. Ronald Jennings
W. RONALD JENNINGS
Special Yavapai Deputy
County Attorney

/s/ Steven J. Twist
STEVEN J. TWIST
Special Yavapai Deputy
County Attorney

[Certificate of Service Omitted in Printing]

IN THE SUPERIOR COURT
OF THE STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

[Title Omitted in Printing]

**DEFENDANTS' RESPONSE TO
SENTENCING MEMORANDUM**

The State of Arizona has devoted the major portion of its Sentencing Memorandum to the argument of whether or not the aggravating circumstance set forth in A.R.S. Section 13-454(E)(6) is present in this case. The State contends that the previous finding by the Arizona Supreme Court in *State vs. Poland*, 645 P. 2nd 784 (1982) that there was insufficient evidence to support such a finding in the previous case does not preclude this Court from reviewing the facts once again and entering such finding. It is the Defendants contention that such an approach is barred by the holding of the United States Supreme Court in *Bullington vs. Missouri*, 451 U.S. 430, 68 L.Ed. 2nd 270, 101 S. Ct. 1852 (1981). Furthermore, as the Defendants have argued in their original Sentencing Memorandum, it is clear that there was no additional evidence produced at trial with respect to the time period referred to by the Supreme Court that would enable this Court to conclude beyond a reasonable doubt that the murders were committed in an especially heinous, cruel and depraved manner. The State sidesteps this argument by presenting to the Court what it perceives to be new evidence in this case. In analyzing that evidence it is clear that the only material produced at the second trial which was not shown at the first trial was the evidence concerning the watch. The

State argues that somehow this is compelling evidence concerning cruelty, heinousness or depravity, when in fact, nothing could be further from the truth. The prosecution also contends that testimony by Mr. Stewart is compelling evidence on the issue of cruelty. However, it must be borne in mind that the State has previously committed itself to the position that the guards were drugged at the time they were put in Lake Mead. The evidence of Mr. Stewart applies only to an individual who would have been conscious at the time that he was drowned and has no relevance to the situation where the guards were unconscious at the time they were placed in Lake Mead. Furthermore, a reading of Mr. Stewart's testimony does not leave one with the overall feeling that he was meaning to indicate in any respect that he was of the opinion that the guards suffered in the manner and mode of their deaths. The burden clearly is upon the State of Arizona to prove beyond a reasonable doubt the existence of this aggravating circumstance. Speculations concerning the mode and manner of the deaths are not sufficient as the Arizona Supreme Court has already pointed out. One need only look at the evidence to see that it is totally lacking as to the conditions surrounding the death of either guard in this case. Therefore, the argument of the State with respect to the cruelty aspects of this aggravating circumstance fails on a wholesale basis. What, in fact, the State of Arizona attempts to do with this issue as well as the other issues involved in this aggravating circumstance is to elevate rank speculation to the level of sound fact. This obviously they cannot do under the present status of the law.

With respect to the State's argument that mental cruelty has been demonstrated beyond a reasonable doubt, one must totally disregard specious arguments made that Mike Poland's testimony somehow describes the last twenty-four hours of the captivity of the guards. On appeal, the Supreme Court was solely unaffected by arguments that called for speculation with respect to the

manner and mode of the deaths of the guards. Nothing can change the Supreme Court's pronouncement that the difficulty in making the determination concerning the aggravating circumstance set forth in A.R.S. Section 13-454(E)(6) in this case is that there is very little evidence in the record of the exact circumstances of the guard's deaths. On the issue of heinousness or depravity, the Supreme Court noted that although the Defendants' state of mind may be inferred at or near the time of the event, we know nothing of the circumstances under which the guards were held hostage. Similarly, the Court found that cruelty had not been shown beyond a reasonable doubt because there was no evidence of suffering by the guards. The autopsy revealed no evidence that they had been bound or injured prior to being placed in the water and there was no sign of a struggle. The Court obviously was addressing the problem that continues to exist in this case concerning the manner in which the guards were held in captivity and the ultimate circumstances concerning their demise, questions which cannot be answered by the rampant speculation engaged in by the prosecution. Were the guards drugged during the entire period of their captivity? If they were, were they even aware of their plight? Furthermore, does the diagnosis of exclusion given by Dr. Green do anything to describe the actualities of the drownings or does it instead raise questions of whether or not at least one of those guards had died of a heart attack prior to being put in Lake Mead? It is impossible indeed to describe the mental horror of the last twenty-four hours of captivity because we know nothing about what occurred during this period of time. The State submits only gross speculation with respect to how the guards were treated or whether or not in fact they were even conscious of their captivity during this period of time. One cannot conceivably arrive at the conclusion that the State of Arizona has proven beyond a reasonable doubt that, in fact, the last twenty-four hours of the guards' lives was the mental horror

which it has depicted it as being. Once again, this Court must bear in mind that the Supreme Court alluded to the fact that there was very little evidence in the record of how the guards were held or the circumstances of their captivity that would justify any conclusions concerning either cruelty or depravity. Nothing has been produced by the State to show any of the activities occurring between the kidnapping on I-17 and the events occurring at Lake Mead. The State seeks to suggest by innuendo that some violence may have occurred because of the existence of bloodstains in the back of the Purolator van. Their suggestion is inconsistent with the testimony of the coroner in this case who indicated that the guards had not been injured prior to being placed in the water and that, in fact, any injury which he saw at the time that the bodies were autopsied was the result of post mortem occurrences. In short, we do not know how the blood got there or when it got there or whose blood it is. We do know, however, from Dr. Green, that neither of the guards suffered any serious injury prior to being placed in the water. Furthermore, the autopsy fails to reveal any evidence that the guards had been bound or that there had been any kind of struggle. These are the facts that we are limited to considering in this case. These are the facts that the State consistently chooses to disregard in favor of their version of how the event must have occurred. Clearly, the State's version does not measure up to proof beyond a reasonable doubt.

The State of Arizona places undue emphasis on the testimony of Michael Poland at the trial and tries to draw a direct relationship between that testimony and what, in fact occurred during the period of the guards' captivity. The Defendants really need not point out that no competent psychiatric or other expert testimony has been offered to buttress the State's conclusion that Michael Poland was in fact describing the guards' last twenty-four hours. The unrefuted testimony was that Michael was taken somewhere by someone shortly before

he was to appear before the Federal Grand Jury. Speculation concerning that event as it relates to the last twenty-four hours of the guards captivity is really beyond reason and the purpose is unfathomable other than to convince this Court by pleas of passion that those are the real facts to be considered. However, this Court should not be lured into the position of elevating rampant speculation into facts which could sustain the finding of the aggravating circumstances as advocated by the prosecution.

Continuing on in the same vein, the prosecution argues that the police manuals are demonstrative evidence of the scheme involved in this particular case. Their "blue-print" to the crime is both inadmissible and irrelevant to this Court's determination. As the defense has repeatedly pointed out, the prosecution is bound by the rules of evidence in this case. With respect to these manuals, they have totally been unable to provide a foundation which would warrant their admission into evidence. Furthermore, this evidence is not even relevant evidence under Rule 401 and certainly under the provisions of Rule 403, would be totally inadmissible because of confusion or prejudice. The prosecution advances certain innuendos that are not appropriate to this investigation and certainly do not have any place here because of the rank inadmissibility of the manuals and the speculation attendant to their use for the purpose which the prosecution advances.

Furthermore, the effects of these crimes on the spouses of the guards is not a relevant consideration here. The defense contends that the matters are not within the definition of A.R.S. Section 13-454(E) (6) handed down by the Arizona Supreme Court and is nothing but a bald-face appeal to passion in an attempt to prejudice this tribunal against the Defendants and thus deprive them of a fair hearing at this juncture of the case. In the same vein are the final arguments of the memorandum which attempt by loose logic to put forth the necessity

for the death penalty in this particular case. As this Court is aware, it is legally mandated to assess the proper sentence to be imposed, taking into consideration all of the admissible evidence and determining whether or not the State has met its burden of proving the existence of certain aggravating circumstances beyond a reasonable doubt. Passion and appeals to prejudice have no part in this determination. There are no new facts in this case that would have any impact upon the Supreme Court's prior pronouncements with respect to the existence of the aggravating circumstances set forth in A.R.S. Section 13-454(E)(6). The prosecution has always known of the facts which were provable. All they have done here is to supply additional speculation by which they seek to elevate to fact their misplaced conclusions concerning the evidence.

The arguments which the prosecution makes with respect to the still remaining aggravating circumstances have been adequately dealt with in the Defendants sentencing memorandum filed on January 19, 1983. Nothing that the prosecution has presented here would in any way vary the arguments previously made and the Defendants will rely upon those arguments in Court. It is their contention that these aggravating circumstances have not been proven beyond a reasonable doubt.

In conclusion, the Defendants contend that the arguments advanced here are the same ones that have been previously made before this Court and before the Supreme Court of Arizona. The difference in the presentation of the prosecution does not lie in the facts proven at trial, but in the attempt by speculation, innuendo and suggestion to convert what, in fact, are not facts in this case into something more than what they really are. Proof beyond a reasonable doubt does not mean in this case that the prosecution can willy-nilly disregard the actual facts demonstrated in favor of some gross speculations concerning what they wish the facts to be.

Finally, the prosecution has argued that the mitigating facts in this case are not sufficiently substantial to call for leniency. It would appear that the State is contending that because none of the statutorily referenced mitigating circumstances have been found, that no other mitigating circumstances arise to the level of calling for leniency. What, in fact, the State of Arizona appears to be doing is calling for this Court to disregard the mandate of *Lockett vs. Ohio*, 438 U.S. 586 (1978) and *Edwards vs. Oklahoma*, — U.S. —, 71 L.Ed 2nd 1 (1982), in which the Supreme Court of the United States made it clear that all mitigating circumstances are to be given serious consideration by the trial court in a case involving the potential for the death sentence. The prosecution simply chooses to ignore the existence of mitigating circumstances which are amply demonstrated by the record by choosing to couch that evidence in terms of "good old boy" evidence and testimony. Such a cynical view of the evidence must be and should be totally disregarded by this Court. The Defendants have amply shown mitigating circumstances do exist in this case which demand that leniency be afforded to the Defendants at the time of sentencing.

RESPECTFULLY SUBMITTED this 15th day of January, 1983.

BOYLE, EATON & PECHARICH

By /s/ Wm. Lee Eaton
WM. LEE EATON
LAW OFFICES OF
JOHN STALLINGS

By /s/ John C. Stallings
JOHN C. STALLINGS

[Certificate of Service Omitted in Printing]

IN THE SUPERIOR COURT OF THE
STATE OF ARIZONA
IN AND FOR THE COUNTY OF YAVAPAI

[Title Omitted in Printing]

SPECIAL VERDICT

Pursuant to the requirements of A.R.S. § 13-454 C; Lockett v. Ohio, 438 U.S. 586, 98 S.Ct. 2955, 51 L.Ed 2d 973 (1978); and State v. Watson, 120 Ariz. 441, 586 P 2d 1253 (1978), this court returns this special verdict of its findings of the existence or non-existence of aggravating circumstances set forth in § 13-454E and of any mitigating circumstances.

AGGRAVATING CIRCUMSTANCES

The only information which has been considered by this court relevant to any of the aggravating circumstances set forth in § 13-454E is that received in evidence at the trial and at the sentencing hearing.

A. The court considers the statutory circumstances as follows:

1. The court finds the aggravating circumstances as follows:

1. The court finds the aggravating circumstance in § 13-454 E(1) is not present.

2. The court finds the aggravating circumstance in § 13-454 E(2) is not present as to Michael Poland, but is present as to Patrick Poland in that on October 5, 1981, Patrick Poland was convicted of bank robbery and use of a dangerous weapon in a bank robbery in violation of Title 18, U.S.C. § 2113(a) and (d), in U.S. District

Court, affirmed by the 9th Circuit Court of Appeals on August 16, 1982. Certiorari denied by the U.S. Supreme Court on November 23, 1982.

3. The court finds the aggravating circumstance in § 13-454 E(3) is present. The evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00. The murders were not committed incidentally or accidentally to the robbery, on the contrary they were intentionally and premeditatedly committed solely for a financial motive.

4. The court finds the aggravating circumstance in § 13-454 E(4) is present. In making this finding, the court is not unmindful of *State v. Poland*, — Ariz. —, 645 P2d 784, and reviewed that case in light of the evidence in this trial and the other Supreme Court guidelines.

The cause of death was by drowning. The victims were kidnapped on I-17 in southern Yavapai County, they were transported to Lake Mead. Some 24 hours later they were placed in canvas bags, taken onto the lake and dropped in the water to drown. The culmination of months of planning. The executed plan shows the state of mind of the defendants and that such killings were especially heinous and depraved.

In applying this provision, the Arizona Supreme Court has said that these words have meanings that are clear. The evidence shows that the killings were carefully planned and cold blooded. This, by itself, is not sufficient, however, as pointed out in *St. v. Madsen* 125 Ariz. 346, 609 P2d, 1046.

But the facts show the murders were shockingly evil, insensate, and marked by debasement.

The Defendants argue that the State has not shown the victims suffered pain, or that they were not drugged. The killings were cruel whether the victims were drugged or not.

The guidelines of *State v. Knapp* 114 Az. 531, 562 P2d 704 and *State v. Gretzler*, No. 3750-2 (Jan. 6, 1983)

closely reach this case. In *Knapp* the victims were incinerated. The autopsy showed there was carbon monoxide poisoning as well, a painless death. In *Gretzler* there was mental distress visited upon the victims. In the case *sub judice*, the nature of the killing itself is sufficient to set it aside from the norm. Holding the victims captives, placing them in specially made canvas bags and dropping them to a slow, painful and terrifying death is grossly bad, sadistic and perverse.

MITIGATING CIRCUMSTANCES

All information relevant to any mitigating circumstances, including, but not limited to, those set forth in § 13-454 (F), contained in the presentence report, presented at the sentencing hearing, and received in evidence at the trial of the defendants has been considered by the court.

A. The court considers the mitigating circumstances as follows:

1. The defendants' capacity to appreciate the wrongfulness of their conduct or to conform to the requirements of law was not significantly impaired. The mitigating circumstance of § 13-454(F) (1) is not present.

2. The defendants were not under unusual and substantial duress. The mitigating circumstance of § 13-454(F) (2) is not present.

3. There is no evidence or information of any kind to permit the court to find the defendants' participation in the murders was relatively minor. The mitigating circumstance of § 13-454(F) (3) is not present.

4. There is no evidence or information of any kind to permit this court to find that the defendants could not reasonably foresee that their conduct in the course of the commission of the offense for which they were convicted would cause or would create a grave risk of causing death to another person.

The mitigating circumstance of § 13-454(F) (4) is not present.

5. The defendants' previous reputation for good character is not a mitigating circumstance for the reputations were false. Patrick Poland was convicted of the crime of bank robbery with a dangerous weapon committed on July 30, 1976. Both Michael Poland and Patrick Poland were in debt and conducted their business affairs in a manner to deceive. They admit to crime.

6. The close family ties that exist between the defendants, their families, and their children is a mitigating circumstance.

7. The court has considered the ages of the defendants. Michael Poland is 42 years old. Patrick Poland is 32 years old.

8. The defendants have conducted themselves as model prisoners during the pendency of these proceedings, trials and appeals; such conduct is a mitigating circumstance.

All references in this Special Verdict to the Arizona Revised Statutes are to the sections of those statutes as they were numbered at the time of the commission of the offense and prior to October 1, 1978.

DATED this 3rd day of February, 1983.

/s/ Paul G. Rosenblatt
PAUL G. ROSENBLATT
Presiding Judge-Division One

SUPREME COURT OF ARIZONA
In Banc

No. 4970-2

STATE OF ARIZONA, APPELLEE

v.

PATRICK GENE POLAND, APPELLANT

March 20, 1985

OPINION OF THE COURT

CAMERON, Justice.

In *State v. Poland*, 132 Ariz. 269, 645 P.2d 784 (1982) (*Poland I*), we reversed defendant Patrick Poland's convictions for two counts of first degree murder with sentences of death and remanded for a new trial. Upon remand, defendant was retried before a jury and again found guilty of two counts of first degree murder in violation of A.R.S. § 13-1105(A)(1). He was again sentenced to death. A.R.S. § 13-703. We have jurisdiction pursuant to Art. 6, § 5(3) of the Arizona Constitution, and A.R.S. §§ 13-4031 and 13-4035.

Defendant raises the following questions on appeal:

1. Pretrial Issues:

(a) Was defendant improperly denied:

- (i) a peremptory change of the trial judge?
- (ii) a change of judge for cause?

(b) Did the trial court improperly refuse to strike two jurors for cause?

(c) Did the trial court improperly refuse to allow testimony by an expert on eyewitness identification?

(d) Did the trial court err in refusing to suppress physical evidence obtained as the result of an alleged illegal search and insufficient search warrant?

2. Trial Issues:

(a) Did the trial court err in admitting into evidence defendant's prior conviction for bank robbery?

(b) Was the prior testimony by hypnotized witness, Stanley Sekulski, improperly read to the jury?

(c) Did the trial court commit reversible error by admitting a gruesome photograph into evidence?

(d) In light of our prior ruling in Poland I, supra, that a taser gun was improperly admitted into evidence, did the trial court improperly admit a receipt showing that weapon's purchase, the box for the weapon, and testimony thereon.

(e) Did the trial court err in failing to grant a mistrial when the prosecution introduced a previously undisclosed statement of defendant?

(f) Did the trial court err in failing to define "intent" as part of its jury instruction on aiding and abetting?

3. Death Penalty Issues:

(a) Is A.R.S. § 13-703, the death penalty statute, constitutional?

(b) Did reimposition of the death penalty constitute double jeopardy?

(c) Were the aggravating circumstances found in this case proven beyond a reasonable doubt?

(d) Did the trial court improperly refuse to consider certain mitigating factors offered by defendant?

(e) Is defendant's sentence proportional to sentences imposed in similar cases in Arizona?

The facts necessary for a determination of this matter on appeal are as follows: ¹

At approximately 8 A.M. on 24 May 1977, a Puro-lator van containing some \$328,180 in cash left Phoenix on a routine delivery to banks in various towns in northern Arizona. When the van failed to make its deliveries, the authorities were notified. The abandoned van with some \$35,150 in cash was discovered early the next day a short distance off Highway I-17.

The evidence revealed that on the morning of 24 May 1977, a number of passing motorists had noticed a Puro-lator van pulled over to the side of Highway I-17 by what appeared to be a police car. Some witnesses identified the two uniformed men as Michael and Patrick Poland. The evidence also showed that on 24 May 1977, Michael and Patrick Poland borrowed a pickup truck and tarpaulin from their father, George Poland. Early on 25 May 1977, Michael Poland rented a boat at the Temple Bar Marina on Lake Mead. He stated that he planned to meet his brother Patrick at Bonelli Landing, a primitive camping area on the Lake, and to do some fishing. At some point, George Poland's truck became stuck in the sand at the water's edge at Bonelli Landing with the tailgate facing the water. After their at-

¹ These facts are identical to the statement of facts in *Poland I*, supra.

tempts to extricate it had failed, the Polands called a towing service. Stan Sekulski was the operator of the tow truck. A few days later, the Polands returned their father's truck with a new tarp, explaining the old one had been ruined when they placed it under the wheels of the truck for traction.

Three weeks later, the body of Cecil Newkirk, one of the guards of the Purolator van, surfaced on Debbie's Cove, a small inlet on the Nevada side of Lake Mead. The body was partially covered by a canvas bag. A week later, park rangers searching the area discovered the body of the other Purolator guard, Russell Dempsey, a short distance from the place Cecil Newkirk's body had been found. Autopsies revealed that the most probable cause of death was drowning, although in the case of Mr. Dempsey the pathologist was unable to rule out a heart attack as a possible cause of death. The bodies had been in the water two weeks or longer. There was no evidence that the guards had been wounded or tied before being placed in the water. Although it was impossible to determine whether they had been drugged, there was no evidence of a struggle. Divers searching the area recovered two other canvas bags, one containing a tarp and blanket. They also brought up two revolvers, which were identified as belonging to the guards, and a license plate bearing the insignia found on Arizona Department of Public Safety automobiles. These were found near a pile of rocks which had evidently fallen out of the bag when it was recovered by a diver. The rocks were of the type found along the shore of Debbie's Cove.

Searches of the homes of Michael and Patrick Poland on 27 July 1977 revealed a number of weapons, including a taser gun, large amounts of cash, and items of police-type paraphernalia. Of particular interest were a scanner and scanner key which were capable of monitoring radio frequencies, a notebook listing local police frequencies, a receipt for a taser gun bearing the name

Mark Harris, handcuff cases, and a gunbelt. Both of the Polands' rented cars, light-colored Chevrolet Malibus, had siren-type burglar alarms which could be activated from inside or outside of the car. Evidence also connected the Polands to the purchase of a "light bar" or rack which could be placed on top of an automobile and would resemble a law enforcement light bar or rack. The canvas bags found in the lake were shown to have been purchased by a Mark Harris.

Although neither Michael nor Patrick Poland had regular employment, the evidence showed that they made numerous large purchases during June and July of 1977. These purchases included appliances, furniture, motorcycles, and a business. Most of the purchases were made in cash or by a cashier's check.

The defense was alibi. Patrick took the stand and testified that both he and his brother had disguised themselves as law enforcement officers and robbed drug dealers on three occasions in early 1977. They testified that they had also been dealing in gems for several months prior to the Purolator incident and that, on 24 May 1977, they had taken a load of raw turquoise to Las Vegas and returned by way of Lake Mead to do some camping.

Michael and Patrick Poland were convicted. They appealed and we reversed and remanded based upon jury misconduct. See *Poland I*, supra. On remand, defendants were again convicted and sentenced to death. We consider the appeal of Patrick Poland.

PRETRIAL ISSUES

a. Change of Judge

The mandate in *Poland I* was filed in this Court and mailed to the Yavapai County Superior Court on 26 May 1982. On 8 June the county attorney moved to dismiss the case. The motion to dismiss was not heard until 21 June, at which time it was denied. On 19 July, special deputies were appointed to prosecute and defend-

ant filed motions for change of judge pursuant to Rule 10.2, Arizona Rules of Criminal Procedure, 17 A.R.S., and to disqualify the judge for cause pursuant to Rule 10.1, Arizona Rules of Criminal Procedure, 17 A.R.S. These motions were heard and denied by another judge. The peremptory challenge motion was denied because it was untimely, and the change of judge for cause motion was denied because bias or prejudice was not shown.

i. Peremptory Change of Judge

We first consider defendant's contention that the trial court committed reversible error in denying his peremptory motion for a change of judge. Our rule regarding change of judge upon request states:

a. Entitlement. In any criminal case in Superior Court, any party shall be entitled to request a change of judge.

* * * *

c. Time for Filing. A notice of change of judge shall be filed, or informal request made, within 10 days after any of the following:

* * * *

(2) Filing of the mandate from an Appellate Court with the clerk of the Superior Court;

Rule 10.2(a), (c) (2), Arizona Rules of Criminal Procedure, 17 A.R.S.

Our *Poland I* mandate was filed and mailed on 26 May 1982. The parties agree that defendant had 15 days, (10 days pursuant to Rule 10.2, *supra*, and 5 days for mailing pursuant to Rule 1.3, Arizona Rules of Criminal Procedure, 17 A.R.S.) to move to disqualify the judge without cause. The motion was not made until 19 July, some 54 days after the issuance of the mandate. This was too late and the motion was properly denied as untimely.

Defendant contends, however, that strict compliance with the rule should be waived because he relied upon the State's 8 June motion to dismiss and, therefore, did not believe that he would go to trial. Had the motion to dismiss been granted, a motion for change of judge would have been unnecessary.

Admittedly, strict compliance with a rule like ours can be waived where the peremptory challenge is made diligently and as soon as practicable. *Smith v. State*, 616 P.2d 863, 865 (Alaska 1980) ("Insofar as each challenge was made almost immediately after the parties learned of the judicial assignment for trial, it cannot be said that their rights to challenge were waived through untimeliness."), *Riley v. State*, 608 P.2d 27 (Alaska 1980) (strict compliance was waived where counsel exercised the challenge promptly upon being appointed). In the instant case, however, defendant did not act diligently to protect his peremptory challenge rights. The motion to dismiss did not extend the time for filing the motion for change of judge. We find no reason to waive the time limits of the rule.

Furthermore, by participating in these hearings, defendant waived his peremptory challenge rights pursuant to Rule 10.4(a), Arizona Rules of Criminal Procedure, 17 A.R.S., which provides in pertinent part that "[a] party loses his right under Rule 10.2 to a change of judge when he participates before that judge in any contested matter in the case, [or] * * * any pretrial hearing * * *." In other words, if a party participates in a hearing which involves a contested issue of law or fact, the right to a peremptory challenge of the judge is waived. *Itasca State Bank v. Superior Court*, 8 Ariz.App. 279, 445 P.2d 555 (1968). The hearings in this case involved contested issues insofar as the parties disagreed on the important question of whether the requested dismissal would be with or without prejudice. This case can then be distinguished from *City of Sierra Vista v. Cochise Enterprises, Inc.*, 128 Ariz. 467, 626 P.2d 1099 (App.1979), in which it

was held that a hearing on a stipulated, and therefore uncontested, motion to dismiss with prejudice did not result in a waiver.

ii. Change of Judge for Cause

Defendant next maintains that he was denied a fair trial because the judge who sentenced him to death in *Poland I, supra*, presided over his retrial. He argues that his motion for change of judge for cause, therefore, should have been granted, or alternatively, that it was error for the trial judge not to have recused himself. We do not agree for two reasons.

First, the motion was not timely. Rule 10.1(b), Arizona Rules of Criminal Procedure, 17 A.R.S., states:

Within 10 days after discovery that grounds exist for change of judge, but not after commencement of a hearing or trial, a party may file a motion verified by affidavit of the moving party and alleging specifically the grounds for the change.

The ground for the change was the judge's participation in the prior trial. This was known at the time of remand. Admittedly, defendant may not have known the judge was to retry the case at that time. The defendant was aware, however, of the judge's participation by the time of the first hearing on the motion to dismiss on 21 June. Defendant's motion for change of judge filed 19 July came too late.

Second, even assuming the timeliness of the motion to disqualify, its denial was still correct. Defendant relied upon *State v. Vickers*, which states:

We have held that even though the judge had prior knowledge of defendant's past bad acts, he need not disqualify himself, so long as the facts are those which would ordinarily be found in a presentence report and the defendant knew the factual basis upon which the judge imposed the sentence. In a death

penalty case, however, which is treated differently from non-death penalty cases, we believe that there is an appearance of impropriety when a judge who has sentenced the defendant to death in a prior case, also tries the same defendant for another potential death penalty offense. The judge should have recused himself from trying this defendant for the second murder.

138 Ariz. 450, 452, 675 P.2d 710, 712 (1983). (Citations omitted.) In *Vickers*, however, the judge had sentenced the same defendant to death in a prior but different murder case. Unlike the case before us, which involves the same crimes on retrial, *Vickers* involved death sentences for two distinct crimes. We did not believe that the judge in *Vickers* would be able to put aside the bias that he would have because of knowledge of the facts of the other crime. In the retrial of the same crime by the same judge, however, there is only the repetition of the same facts—the same facts that would be heard by any judge who tries the case. Under these circumstances, it can not be said that the prior trial prejudiced the judge the second time around. We find no error.

b. Refusal to Strike Jurors

Defendant argues that the court erred in refusing to strike two jurors for cause.

John Matthews testified on voir dire that he had heard and read about the case from T.V., radio, and newspapers. He answered the court's questions as follows:

BY THE COURT:

Q Do you remember any of the specifics of any of the accounts that you have seen on television or heard on or about radio?

. . . .

A Well, just that they were going to retry them, have a retrial.

Q So you are aware this is a retrial?

A Yes, right.

Q Now going back to the earlier accounts that you had seen and as you followed the case, in that period of time did you form any opinion of your own concerning the guilt or the innocence of the Defendants?

A I would say so.

* * * *

Q Do you understand if you were picked as a juror in this case it would be necessary for you to decide this case only on the evidence and the testimony presented here in the courtroom?

A Yes.

Q And that you would have to put from your mind anything that you had seen or heard or read or knew about the case in any form whatsoever?

A Yes.

Q Do you understand that?

A Yes.

Q Do you feel you could do that?

A I probably could.

Q Do you feel you could fairly and impartially judge this case solely on what was presented to you here in this courtroom in this trial?

A Probably could.

Q And that you could, when you went to the jury room, if you were a member of the jury, not discuss anything that took place prior or permit anyone else to talk to you about anything that took place prior?

A Probably could.

Q You could do that?

A Probably.

In response to the prosecutor's question, the juror testified that he would be able to vote not guilty if the State failed in the burden of proof.

In response to the question of defendant's counsel:

Q Haven't you told the Judge that you previously formed an opinion that Michael and Patrick Poland were guilty based on what you had read and seen about the case?

* * * *

A He was found guilty in the first case.

Q Right. And is the fact that they were found guilty in the first case, is that going to somehow influence your decision if you sit as a juror in this case?

A No.

Q You can totally wipe that out of your mind?

A Well, as far as I know.

* * * *

Q Do you realize, Mr. Matthews, that anyone who is charged with a crime is presumed innocent by the law until proven guilty beyond a reasonable doubt?

A Yes, sir.

* * * *

Q Let me ask you one more question: as you sit here today and you look at these Defendants, knowing what you know about the case, knowing about the prior proceedings, do you have any feeling in your mind that these men are guilty?

A No.

The other juror objected to by defendant, Cynthia Dea Benavidez, testified as follows:

BY THE COURT:

Q Mrs. Benavidez, you indicated you had seen or heard or read or know something about this case, is that right?

A Yeah, I have seen on T.V. news and stuff.

Q Okay. You have seen it on T.V.

* * * *

A Yes.

Q And when would that have been, ma'am?

A Oh, I don't know the exact time. Just when the trials come up and, you know, what you see on T.V. news.

* * * *

Q Okay. Do you realize if you were selected as a member of this jury you would have to decide guilt or innocence based only on what was presented here in this courtroom?

A Yes, that's what I know.

Q And do you think you could do that?

A No.

Q You don't think you could put all the things you have seen out of your mind and decide this case only on the evidence and testimony presented here in the courtroom?

A Well, maybe I could, because I really haven't followed that close, but I just—

Q I know it's a tough question.

A But just from what I know I thought they were guilty.

* * * *

Q I know this is tough. We have to look into your mind.

A I think I have already formed an opinion, but I—I don't know that much about Court and stuff, you know.

Q Well, in a Court you would have an opening statement presented by both sides in the action, you would have witnesses who would be placed under oath and take the stand and sit where you are sitting, they would be asked questions. After all the evidence and testimony had been presented, then the lawyers would argue the case and the evidence as they saw it, and then I would instruct you on the law that governs this case and it would be your duty to follow that law, and then and only then would you go into the jury room with the other jurors and decide the case. Do you think you could do that or do you think you could not?

A I think I could.

The prosecutor and attorneys for defendant also questioned Cynthia Dea Benavidez as follows:

BY THE PROSECUTOR

Q Would you be able to fairly and impartially judge the case so that at the end of the case if the State had proved the Defendants guilty beyond a reasonable doubt you could find them guilty, and if the State has failed in its burden you would find them not guilty? Could you do that?

A Sure, if I sit and listen to it all I'm sure my mind could still be open.

Q Okay. Could you—do you think you would have the ability, and I am sure having watched television, that occasionally people—memories will come back, programs you saw something on television that a witness is talking about now. Would you be able to set aside that which you saw on television and judge each witness and their performance and their testi-

mony and their evidence and base your decision only on that evidence and nothing else?

A Yes, I could, because I don't really remember that much about it.

* * * *

BY DEFENDANT'S ATTORNEY

Q All right. And you do understand that Michael and Patrick Poland have the right to a fair trial?

A Yes I understand. I know the system. I'm thankful for that.

Q Right. And that if the State hadn't proved its burden, then all that you had heard, all that you had read, could not be used to otherwise convict them. Do you understand that?

A Yes.

* * * *

Q If you were charged with murder, ma'am, would you feel comfortable having someone with your frame of mind and knowing what you know sitting on the jury and judge you?

A No.

Q You think what you know is going to influence, even subconsciously, your verdict in this case?

A I don't—well, like—um—if I had to sit and listen to everything, you know, then make an opinion, it might be different.

Q But right now if you were being tried for murder you wouldn't want someone with your frame of mind judging you?

A Well not from what I have already saw.

Q That's what I mean.

A No.

* * * *

BY THE COURT:

Q The bottom line, Mrs. Benavidez, has to be whether or not you feel if you were on the jury you could judge this case solely on the evidence and testimony presented here in the courtroom and on that basis render a verdict?

A I think I could do that.

We have held that because a juror has preconceived notions or opinions does not necessarily render him incompetent to fairly and impartially decide a case. *State v. Clabourne*, 142 Ariz. 335, 690 P.2d 54, 63 (1984); *State v. Tison*, 129 Ariz. 526, 533, 633 P.2d 335, 342 (1981), cert. denied, 459 U.S. 882, 103 S.Ct. 180, 74 L.Ed.2d 147 (1982). If a juror is willing to put aside his opinions and base his decision solely upon the evidence, he may serve. See *Clabourne*, supra; *State v. Greenawalt*, 128 Ariz. 388, 394, 626 P.2d 118, 124, cert. denied, 454 U.S. 848, 102 S.Ct. 167, 70 L.Ed.2d 136 (1981). The voir dire may be used for the purpose of rehabilitating a juror by convincing him of his responsibility to sit impartially. *Clabourne*, supra; *State v. Clayton*, 109 Ariz. 587, 593, 514 P.2d 720, 727 (1973).

We will not set aside a ruling upon a challenge to a juror absent a clear showing that the trial court abused its discretion. *State v. Montano*, 136 Ariz. 605, 607, 667 P.2d 1320, 1322 (1983). Because the record shows the contested jurors were adequately rehabilitated through the voir dire, the trial court did not abuse its discretion in failing to strike them. We find no error.

c. Expert Eyewitness Identification Testimony

Prior to trial, the State moved to suppress expert testimony regarding eyewitness identification. The trial court granted the motion. Defendant argues that the trial court abused its discretion in not allowing the presentation of expert testimony on eyewitness identification. We do not agree.

The test for preclusion of expert testimony "is whether the subject of inquiry is one of such common knowledge that people of ordinary education could reach a conclusion as intelligently as the witness * * *." *State v. Owens*, 112 Ariz. 223, 227, 540 P.2d 695, 699 (1975). Expert testimony on eyewitness identification is usually precluded because it invades the province of the jury to determine what weight or effect it wishes to give to eyewitness testimony. It is usually not a proper subject for expert testimony.

We have, however, previously sanctioned the use of expert testimony on eyewitness identification:

The admissibility of expert testimony is governed by Rule 702, Ariz.R. of Evid. That rule states:

If scientific, technical, or other specialized knowledge will assist the trier of fact to understand the evidence or to determine a fact issue, a witness qualified as an expert by knowledge, skill, experience, training, or education, may testify thereto in the form of an opinion or otherwise.

In what is probably the leading case on the subject, the Ninth Circuit affirmed the trial court's preclusion of expert evidence on eyewitness identification in *United States v. Amaral*, 488 F.2d 1148 (9th Cir.1973). In its analysis, however, the court set out four criteria which should be applied in order to determine the admissibility of such testimony. These are: (1) qualified expert; (2) proper subject; (3) conformity to a generally accepted explanatory theory; and (4) probative value compared to prejudicial effect. *Id.* at 1153. We approve this test and find that the case at bar meets these criteria.

We recognize that the cases that have considered the subject have uniformly affirmed trial court rulings denying admission of this type of testimony.

However, a careful reading of these cases reveals that many of them contain fact situations which fail to meet the Arnaral criteria or are decided on legal principles which differ from those we follow in Arizona.

State v. Chapple, 135 Ariz. 281, 291, 660 P.2d 1208 (1983). Our holding in *Chapple* was limited to the peculiar facts of that case. As we noted, "[n]o direct or circumstantial evidence of any kind connect[ed] defendant to the crime, other than the testimony of [the eyewitnesses] * * *." *Id.* at 285, 660 P.2d at 1212 (footnote omitted). We specifically stated, however, that "The rule in Arizona will continue to be that in the usual case we will support the trial court's discretionary ruling on admissibility of expert testimony on eyewitness identification." *Id.* at 297, 660 P.2d at 1224. See also *People v. McDonald*, 37 Cal.3d 351, 208 Cal.Rptr. 236, 690 P.2d 709 (1984) (adopting the rule of limited usage outlined in *Chapple*); Note, *Expert Testimony on Eyewitness Identification: Invading the Province of the Jury?*, 26 Ariz.L.Rev. 399 (1984) (cautioning against the widespread use of such testimony). Under the facts of this case, the trial court did not abuse its discretion in refusing to allow the introduction of expert testimony on eyewitness identification. The peculiar facts of *Chapple* were not present in the instant case. The question of guilt did not hinge solely on the testimony of eyewitnesses. There was nothing that the witness would testify to that was not within the common experience of the jurors. *State v. Owens*, supra, 112 Ariz. at 227, 540 P.2d at 699. The probative value of the testimony did not overcome the prejudicial effect. *Chapple*, supra. We find no error.

d. Suppression of Material Evidence

During the investigation of the crimes, an FBI agent learned that the home Michael Poland had been renting was for sale. Posing as a buyer, the agent went through

the house and later testified as to what he saw. Defendant claims this was an illegal entry. Defendant also questions the sufficiency of an affidavit in support of a search warrant.

We considered the same issues based upon the same facts in the prior case, *Poland I*, 132 Ariz. at 277-78, 645 P.2d at 792-93. We found no error then and we find no error now.

TRIAL ISSUES

a. Prior Conviction

Defendant contends that the trial court abused its discretion by allowing defendant to be impeached with a prior felony conviction for bank robbery.

Our Rules of Evidence state in pertinent part:

For the purpose of attacking the credibility of a witness, evidence that he has been convicted of a crime shall be admitted if elicited from him or established by public record, if the court determines that the probative value of admitting this evidence outweighs its prejudicial effect, and if the crime (1) was punishable by death or imprisonment in excess of one year under the law under which he was convicted or (2) involved dishonesty or false statement, regardless of the punishment.

Rule 609(a), Arizona Rules of Evidence, 17A A.R.S. Defendant does not assert that his prior conviction is not governed by this rule or that it was too remote in time to be used. Rather, he claims that the trial court did not make the requisite finding that the probative value of using the prior conviction for impeachment purposes outweighed any prejudicial effect.

In making the motion to preclude the use of the prior conviction, defendant's attorney stated:

Our motion is based on Rule 609 of the Arizona Rules of Evidence. The primary thrust of our mo-

tion is that the potential for prejudice in introducing this prior conviction will outweigh any probative value it might have for impeachment purposes. The main fear that I have is that the jury will utilize this conviction as substantive evidence of guilt rather than utilizing it for the limited purpose of deciding the truthfulness or non-truthfulness of any testimony that the witness offers. (Emphasis ours.)

After argument on the motion, the court took the matter under advisement and then ruled as follows:

The rulings I'm prepared to make are that the Defendants' motion to preclude the use of the prior conviction is denied.

I have spent a good deal of time reviewing this motion and the arguments and the opposition to it. I believe that, under the rules, that the use of that prior conviction can be used to impeach the Defendant if the Defendant elects to testify.

We agree that the preferred method for complying with Rule 609 is a specific on-the-record finding that the probative value of using a prior conviction for impeachment outweighs the danger of unfair prejudice. *State v. Hunter*, 137 Ariz. 234, 237, 669 P.2d 1011, 1014 (App. 1983); *State v. Dixon*, 127 Ariz. 554, 558, 622 P.2d 501, 505 (App. 1980). Where, however, it is clear from a reading of the record that the probative value has been balanced against the prejudice, a specific finding need not be made. See *State v. Ellerson*, 125 Ariz. 249, 252, 609 P.2d 64, 67 (1980). It appears that the trial judge in the instant case did balance the probative value against the potential prejudicial effect. The decision whether to admit evidence of the prior conviction for impeachment purposes was within the sound discretion of the trial court. *State v. McElyca*, 130 Ariz. 185, 188, 635 P.2d 170, 173 (1981). We find no abuse of that discretion. *Id.*

Neither do we believe that the trial judge ruled incorrectly. Because defendant relied upon an alibi defense, impeachment evidence was vitally important to the State. The significance of such evidence in similar situations has been recognized. See *State v. Gillies*, 135 Ariz. 500, 507, 662 P.2d 1007, 1014 (1983). We find no error.

b. Hypnotized Witness

Stanley Sekulski, the tow truck operator who pulled the truck out of the sand at Bonelli Landing, was a potential witness against the defendant. He had been hypnotized prior to trial. For other reasons, he was found incompetent to testify. Instead the testimony he gave at defendant's first trial was read to the jury. This testimony was first edited, however, to reflect solely the recall he had prior to his being hypnotized during the investigative phase of the case. This was done by using the pre-hypnotic statements made to the police and the FBI. The cross-examination was, however, read in its entirety. Defendant maintains, nevertheless, that this procedure deprived him of the right to confront and cross-examine a witness against him, U.S. Const. amend. VI; amend. XIV. We do not agree.

First, we note that the use of former testimony is a recognized exception to the rule against hearsay whenever a witness is declared incompetent to testify or is otherwise unavailable. Rule 804(b)(1), Arizona Rules of Evidence, 17A A.R.S. In the instant case, it was agreed that the witness was in fact incompetent to testify.

Second, although a witness is rendered incompetent to testify as to the recall induced through hypnosis, he may testify to facts demonstrably recalled prior to hypnosis:

We further minimize the risk [of using the testimony of a hypnotized witness] by requiring that before hypnotizing a potential witness for investigatory purposes, the party intending to offer the pre-

hypnotic recall appropriately record in written, tape recorded or, preferably, videotaped form the substance of the witness' knowledge and recollection about the evidence in question so that the prehypnotic recall may be established. Such recordation must be preserved so that at trial the testimony of that witness can be limited to the prehypnotic recall. If such steps are not taken, admission of the prehypnotic recall will be error, which, if prejudicial, will require reversal.

State ex. rel. Collins v. Superior Court, 132 Ariz. 180, 210, 644 P.2d 1266, 1296 (1982). In the instant case, the trial court ruled that FBI 302 reports and Las Vegas Police Department reports met the recordation requirement. Such reports are regularly used to summarize witness interviews, and in this case, they were used to edit Sekulski's former testimony to reflect only his prehypnotic recall.

We imposed the requirement of a prehypnotic record to mitigate the danger of subsequent hypnosis contaminating testimony of facts recalled prior to hypnosis. *Id.* Although we continue to adhere to the view expressed in *Collins* that videotaping is the preferred method for preserving prehypnotic recall, in the instant case, the FBI and police reports adequately enabled the parties to segregate the prehypnotic recall from post hypnotic testimony. From these reports, prepared prior to any hypnotic sessions, the transcript was edited to reflect only Sekulski's prehypnotic recall. The attendant risks were further minimized through the reading of Sekulski's cross-examination in its entirety. *Id.* Furthermore, had defendant elected, he could have introduced expert testimony to show that Sekulski's prehypnotic recall was tainted by his subsequent hypnosis. *Id.* Under these facts, the risks inherent in using the testimony of the previously hypnotized witness were minimized in accordance with our decision in *Collins*. We find no error.

c. Gruesome Photographs

Defendant contends that the trial court abused its discretion in admitting two gruesome photographs into evidence. We will consider only one photograph, however, as we do not believe that the photograph of the fully clothed body of one of the victims lying face down near the area where it surfaced was gruesome.

The court found the second photograph to be gruesome and we agree. The photograph was a closeup of the torso and decomposed head of one of the victims. It shows him clad in his employer's uniform and a wristwatch. The photograph was, however, admitted because the court ruled that its probative value outweighed its prejudicial effect. Even though it was gruesome, a photograph may be admitted provided it has probative value apart from merely illustrating the atrociousness of the crime. *State v. Perea*, 142 Ariz. 352, 690 P.2d 71, 76 (1984). This is true notwithstanding the fact that neither the identity of the victim nor the manner of death are disputed. *Id.*

In the instant case, one of the victim's co-workers used the contested photograph to identify the victim by the type of uniform he was wearing. The medical examiner who performed the autopsies upon the victims testified that the photograph illustrated the difficulty he had in determining a cause of death because of decomposition. Furthermore, the photograph shows the victim with his watch on. Investigators hypothesized the time of death of the victims in reference to the time this watch stopped.

We do not believe the gruesomeness of the photograph outweighed its probative value. *State v. McCall*, 139 Ariz. 147, 157, 677 P.2d 920, 930 (1983); Rule 403, Arizona Rules of Evidence, 17A A.R.S. We find no error.

d. Admission of Taser Gun Receipt and Gun Box

In *Poland I*, supra, we held that a taser gun was improperly admitted into evidence because it was never connected to the crime. We stated, however, that the receipt

for that weapon's purchase was properly seized and admitted at trial. *Id.* 132 Ariz. at 281, 645 P.2d at 796. We explained the receipt's relevance as follows: "[t]he taser gun receipt * * * indicated that it [the gun] had been purchased by an alias or accomplice, suggesting that it may have been purchased in contemplation of the crime or by another involved in the crime." *Id.* at 280, 645 P.2d at 795. We hold that evidence showing the use of such an alias was relevant and the receipt was properly admitted.

As to the empty taser gun box, we are unable to discern its relevance. Neither do we find its admission prejudicial. See *State v. Montes*, 136 Ariz. 491, 497, 667 P.2d 191, 197 (1983). We find no error.

e. Mistrial

Defendant contends that the trial court erred in failing to grant his motion for a mistrial after the State adduced a previously undisclosed statement at trial.

Testimony was elicited at trial from prosecution witnesses that three men purchased the lightbar alleged to have been used in the commission of the crime. Because the State felt that the description of one of these men matched defendant's brother, Thad Scott Poland, he was interviewed on the evening prior to his scheduled testimony. Allegedly, he told investigators that defendant Patrick Poland revealed to him that he had purchased the lightbar. Without disclosing to defendant the nature of this witness's statements, the State presented the evidence at trial. Defendant did not object until after the witness had left the stand.

Rule 15.1(a)(1), Arizona Rules of Criminal Procedure, 17 A.R.S., provides that the State must make available to defendants relevant written or recorded statements of witnesses against them if it has such information within its control. Rule 15.6 reads:

If at any time after a disclosure has been made any party discovers additional information or mate-

rial which would be subject to disclosure had it then been known, such party shall promptly notify all other parties of the existence of such additional material, and make an appropriate disclosure.

We find no error for two reasons.

First, the defendant failed to object until after the witness left the stand. It was not an abuse of discretion to fail to impose sanctions under such circumstances. *See State v. Gambrell*, 116 Ariz. 188, 190, 568 P.2d 1086, 1088 (App. 1977).

Second, there was no prejudice to defendant by the alleged failure to disclose. It came as no surprise that defendant's brother would testify and there was opportunity to interrogate him regarding his proposed testimony. Furthermore, the witness discredited himself on the stand stating, "[w]ell, he [Patrick] never really said he bought the lightbar. That was my making that up basically. * * * Pat never said specifically that he'd ever bought a lightbar. That was me saying that." Any prejudice resulting from nondisclosure was further rectified during cross-examination. Under these circumstances, the error, if any, was non-prejudicial. *See State v. Jessen*, 130 Ariz. 1, 4, 633 P.2d 410, 414 (1981) (trial court did not abuse its discretion in failing to impose sanctions where no prejudice resulted from nondisclosure).

f. Definition of Intent

The court instructed the jury as follows:

All persons concerned in the commission of a crime, whether they directly commit the act constituting the offense or aid and abet in its commission are principals in any crime so committed.

The defendants have produced evidence that they were not present at the time and place the alleged crime was committed. If you have a reasonable doubt whether the defendants were present at the

time and place the alleged crime was committed you must find the defendants not guilty.

Defendants cite us to the language of the statute defining aiding and abetting, A.R.S. § 13-301, which provides in pertinent part:

“accomplice” means a person, * * *, who *with the intent to* promote or facilitate the commission of an offense:

.

2. Aids, counsels, agrees to aid or attempts to aid another person in planning or committing the offense.

(Emphasis added). They contend that the omission of the phrase “with the intent to” from the instruction given was error. We do not agree.

Lack of a particular instruction is not fatal where the instructions, read as a whole, adequately set forth the law. *State v. Villafuerte*, *infra* 142 Ariz. at 329, 690 P.2d at 48; *State v. Axley*, 132 Ariz. 383, 392, 646 P.2d 268, 277 (1982); *State v. Rhymes*, 129 Ariz. 56, 59, 628 P.2d 939, 942 (1981).

In the instant case, the jury was also instructed:

The State must prove that the Defendants have done an act which is forbidden by law and that they *intended* to do it. You may determine that the Defendants *intended* to do the act if they did it voluntarily.

.

A murder which is perpetrated by any kind of willful, deliberate and premeditated killing is murder of the first degree. All other kinds of murder are of the second degree. If you have a reasonable doubt about which of the two degrees of murder was committed, you must decide it was second degree murder.

.

Malice aforethought may be express or implied. It is express when there is manifested a deliberate *intention* unlawfully to take away the life of a fellow creature. It is implied when no considerable provocation appears or when the circumstances attending the killing show an abandon or malignant heart.

(Emphasis added).

The instruction, even though not mentioning the requisite element of intent, was sufficient when read in conjunction with an instruction that the defendant could not be found guilty in the absence of intent. *State v. George*, 95 Ariz. 366, 371, 390 P.2d 899, 904 (1964) (although element of "intent" omitted from instruction on aiding and abetting, no reversible error found where instructions, read as a whole, indicated that guilt could not be found absent the requisite intent). We believe that *George* is dispositive. We find no error.

DEATH PENALTY ISSUES

a. The Death Penalty Statute

Defendant contends that our death penalty statute, A.R.S. § 13-703, is unconstitutional. We have previously disposed of this question. *State v. Zaragoza*, 135 Ariz. 63, 68, 659 P.2d 22, 27, cert. denied, 462 U.S. 1124, 103 S.Ct. 3097, 77 L.Ed.2d 1356 (1983); *State v. Clark*, 126 Ariz. 428, 435, 616 P.2d 888, 895, cert. denied, 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612 (1980). Furthermore, our sentencing scheme for capital cases is neither rendered unconstitutional because of its lack of jury participation, *State v. Roscoe*, — Ariz. —, —, —, — P.2d —, — [No. 5831, filed 28 December 1984, slip op. at 24-25], nor because of its failure to require beyond a reasonable doubt that aggravating circumstances outweigh mitigating circumstances. *State v. Carriger*, 143 Ariz. 142, —, 692 P.2d 991, 1008 (1984).

Additionally, we believe the death penalty was properly applied to the facts of this case. The record provides substantial support for the conclusion that defendant killed, attempted to kill, or intended to kill. See *Enmund v. Florida*, 458 U.S. 782, 102 S.Ct. 3368, 73 L.Ed.2d 1140 (1982); *State v. Vickers*, 138 Ariz. 450, 452, 675 P.2d 710, 712 (1983). We find no error.

b. Double Jeopardy

Defendant contends that the double jeopardy provisions of the United States and Arizona Constitutions barred reimposition of the death penalty in this case. We do not agree.

The Double Jeopardy Clause of the Fifth Amendment to the United States Constitution provides in pertinent part, "nor shall any person be subject for the same offense to be twice put in jeopardy of life or limb * * *." Our state constitution contains a similar provision. Ariz. Const. Art. II, § 10. The United States Supreme Court has held that double jeopardy consequences attach to a sentencing proceeding whenever it resembles a trial. *Bullington v. Missouri*, 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (1980). The Court later stated, "respondent's initial sentence of life imprisonment was undoubtedly an acquittal on the merits of the central issue in the proceeding—whether death was the appropriate punishment for respondent's offense." *Arizona v. Rumsey*, — U.S. —, —, 104 S.Ct. 2305, 2310, 81 L.Ed.2d 164, 171 (1984).

Defendant contends that Bullington and Rumsey bar reimposition of the death penalty in the instant case. We do not agree. In those cases, the respective defendants were sentenced to terms of imprisonment. Upon remand, each was sentenced to death. The United States Supreme Court held that the Double Jeopardy Clause barred imposition of the death penalty in those cases. These holdings were based upon the fact that the respec-

tive state sentencing procedures resembled trials. Accordingly, because each defendant was initially sentenced to a term of imprisonment, he was impliedly "acquitted" of the death penalty.

In the instant case, defendant was sentenced to death at the end of his first trial. There was no implied "acquittal" of the death penalty. *Bullington* and *Rumsey* do not, therefore, apply. See *Knapp v. Cardwell*, 667 F.2d 1253, 1264-65 (9th Cir.), cert. denied, 459 U.S. 1055, 103 S.Ct. 473, 74 L.Ed.2d 621 (1982).

Defendant argues, however, that he was impliedly "acquitted" of the death penalty at the appellate level because *Poland I*, supra, overturned the single aggravating circumstance upon which his previous death sentence was based, that is that the murders were committed in an especially heinous, cruel or depraved manner, A.R.S. § 13-703(F)(6). Our holding in *Poland I*, however, was simply that the death penalty could not be based solely upon this aggravating circumstance because there was insufficient evidence to support it. This holding was not tantamount to a death penalty "acquittal."

Because we find below that the "heinous, cruel or depraved" aggravating circumstance was again not adequately proven, we need not reach the question of whether double jeopardy precluded the sentencing court from refinding this aggravating circumstance.

c. Proof of Aggravating Circumstances

The trial court found as aggravating circumstances:

1. That defendant committed the crime in an "especially heinous, cruel or depraved manner." A.R.S. § 13-703(F)(6).
2. That the crime was committed "as consideration for the receipt, or in expectation of the receipt, or anything of pecuniary value." A.R.S. § 13-703(F)(5).

3. That defendant had been "previously convicted of a felony in the United States involving the use or threat of violence on another person." A.R.S. § 13-703(F) (2).

This court will, in all death cases, make an independent review of the facts to determine for itself the aggravating and mitigating factors. *State v. Smith*, 138 Ariz. 79, 85, 673 P.2d 17, 23 (1983), cert. denied, — U.S. —, 104 S.Ct. 1429, 79 L.Ed.2d 753 (1984); *State v. Richmond*, 136 Ariz. 312, 317, 666 P.2d 57, 62, cert. denied, — U.S. —, 104 S.Ct. 435, 78 L.Ed.2d 367 (1983).

Defendant contends that the sentencing court erred in its findings that the murders in this case were "especially heinous, cruel or depraved." A.R.S. § 13-703(F) (6). We agree.

In *Poland I*, supra 132 Ariz. at 285, 645 P.2d at 800, we set aside the finding of this aggravating circumstance (then contained in former A.R.S. § 13-454(E) (6), for the following reasons:

In interpreting the aggravating circumstance that the offense was committed in an especially heinous, cruel, or depraved manner, we have stated:

" * * * the cruelty referred to in the statute involved the pain and the mental and physical distress visited upon the victims. Heinous and depraved as used in the same statute meant the mental state and attitude of the perpetrator as reflected in his words and actions." *State v. Clark*, 126 Ariz. 428, 436, 616 P.2d 888, 896 (1980), cert. denied 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612.

We do not believe that the evidence so far produced in this case shows that the murders were cruel. We have interpreted "cruel" as "disposed to inflict pain esp. in a wanton, insensate or vindica-

tive manner: sadistic." *State v. Lujan*, 124 Ariz. 365, 372, 604 P.2d 629, 636 (1979), quoting Webster's Third New International Dictionary. There was no evidence of suffering by the guards. The autopsy revealed no evidence that they had been bound or injured prior to being placed in the water, and there was no sign of a struggle. Cruelty has not been shown beyond a reasonable doubt. *State v. Lujan*, supra; *State v. Ortiz*, 131 Ariz. 195, 639 P.2d 1020 (1981); *State v. Bishop*, 127 Ariz. 531, 622 P.2d 478 (1980); *State v. Knapp*, 114 Ariz. 531, 562 P.2d 704 (1977), cert. denied, 435 U.S. 908, 98 S.Ct. 1458, 55 L.Ed.2d 500 (1978).

Neither does the evidence support a finding that the murders were heinous or depraved. These terms were defined in *State v. Lujan*, supra:

"heinous: hatefully or shockingly evil: grossly bad

"depraved: marked by debasement, corruption, perversion or deterioration." 124 Ariz. at 372, 604 P.2d at 636.

The issue focuses on the state of mind of the killer. *State v. Lujan*, supra. The difficulty in making this determination in the case at bar is that there is very little evidence in the record of the exact circumstances of the guards' deaths. Although defendants' state of mind may be inferred from their behavior at or near the time of the offense, *State v. Lujan*, supra, we know nothing of the circumstances under which the guards were held hostage.

The State must prove the existence of aggravating circumstances beyond a reasonable doubt. *State v. Jordan*, 126 Ariz. 283, 614 P.2d 825, cert. denied, 449 U.S. 986, 101 S.Ct. 408, 66 L.Ed.2d 251 (1980). We do not believe it has been shown beyond a rea-

sonable doubt that the murders were committed in an "especially heinous, cruel or depraved manner."

At retrial, the State again failed to show what we found lacking in *Poland I*: suffering by the victims and the circumstances surrounding their deaths. The State did not show the victims were conscious at the time of death. A finding of cruelty cannot stand where the State has failed to prove beyond a reasonable doubt that the victims were conscious at the time of death. *State v. Villafuerte*, 142 Ariz. 323, 690 P.2d 42, 50 (1984). We are, therefore, compelled to again set aside the finding that the murders were committed in an "especially heinous, cruel or depraved manner."

The State has, however, proven beyond a reasonable doubt that defendant "committed the offense as consideration for the receipt, or in the expectation of the receipt, of anything of pecuniary value." A.R.S. § 13-703(F) (5). This circumstance is applied to murders having a "financial motivation." *State v. Villafuerte*, supra at 328, 690 P.2d at 47; *State v. Graham*, 135 Ariz. 209, 212, 660 P.2d 460, 463 (1983), *State v. Clark*, 126 Ariz. 428, 436, 616 P.2d 888, 896, cert. denied, 449 U.S. 1067, — S.Ct. 796, 66 L.Ed.2d 612 (1980). In the instant case, the murders were part of an overall scheme to obtain items of pecuniary value. *State v. Nash*, 143 Ariz. 392, —, 694 P.2d 222, 235 (1985). Under the facts of this case, the "pecuniary gain" finding was clearly warranted.

Defendant maintains, however, that the sentencing court incorrectly found the aggravating circumstance contained in A.R.S. § 13-703(F) (2): that he "was previously convicted of a felony in the United States involving the use or threat of violence on another person." He argues that this factor should not have been found absent an examination of whether violence played a role in his prior conviction for bank robbery. This argument was most recently raised and rejected in *State v. Nash*, at

—, 694 P.2d at 234, where we held that judicial notice may be taken that certain felonies, by definition, involve violence against others. *See also State v. Watson*, 120 Ariz. 441, 448, 586 P.2d 1253, 1260 (1978), cert. denied, 440 U.S. 924, 99 S.Ct. 1254, 59 L.Ed.2d 478 (1979) (“Fear of force is an element of robbery and the conviction of robbery presumes that such fear was present.”) Furthermore, defendant’s claim that Double Jeopardy principles bar the use of his prior conviction to enhance sentencing is without merit. *State v. LeMaster*, 137 Ariz. 159, 166, 669 P.2d 592, 599 (App. 1983).

d. Mitigating Circumstances

The trial court found as mitigating circumstances the defendant’s close family ties, and that he was a model prisoner. The trial court found that these mitigating circumstances were not “sufficiently substantial to call for leniency.” A.R.S. § 13-703(E).

Defendant raises two arguments relating to mitigating circumstances. First, he argues that the sentencing court’s failure to find good reputation as a mitigating circumstance was error. We do not agree.

Defendant points to numerous letters written by family members and acquaintances attesting to his good reputation. The sentencing court, however, found this evidence was contradicted by defendant’s prior conviction. The court reasoned that defendant’s reputation was not a mitigating factor because it was falsely built.

Defendants have the burden of proving mitigating factors by a preponderance of the evidence. *State v. McMurtrey*, 143 Ariz. 71, 72-73, 691 P.2d 1099, 1100-1101 (1984). The sentencing court and this Court on appeal may take cognizance of evidence tending to refute a mitigating circumstance. *State v. Smith*, 131 Ariz. 29, 638 P.2d 696 (1981).

In light of conflicting evidence as to defendant’s reputation, we do not believe that the defendant has shown

by a preponderance of the evidence defendant's good reputation as a mitigating circumstance.

Second, defendant also claims error to the sentencing court's discussion of close family ties as a mitigating circumstance:

The Court does find the close family ties of the—that exist between the Defendants' families and their children as a mitigating circumstance. I don't want this to be misconstrued as an opinion of this Court that this in fact made them good husbands and fathers. On the contrary, the exact opposite would be true. It would be impossible to conceive of good husbands and fathers committing crimes of this nature, and thereby bearing the aura of being a good family man. I suspect the only possible self-justification that may be available to you both is that you somehow did this for your children and families, but of course quite the opposite is the result, and you have in fact destroyed your families, and I suspect that the best thing that you could do at this point would be to admit to them that you have committed these offenses, let them face up to it, let them try to prepare their lives in a manner that will permit them to exist in the future, otherwise you have destroyed them forever.

Defendant contends that the court was using a mitigating factor as an aggravating factor contrary to *State v. Just*, 138 Ariz. 534, 675 P.2d 1353 (App. 1983) (where the sentencing court incorrectly used the defendant's prior exemplary life as an aggravating factor). We do not believe, however, that the court used defendant's close family ties in this manner. Rather, it appears that the court found this to be a mitigating factor but not "sufficiently substantial to call for leniency." *State v. Gretzler*, 135 Ariz. 42, 54, 659 P.2d 1, 13, cert. denied, 461 U.S. 971, 103 S.Ct. 2444, 77 L.Ed.2d 1327 (1983). We find no error.

We further find that neither defendant's age, twenty-seven at the time of the offenses, *State v. Clark*, supra; nor the fact that he was a model prisoner, *State v. Carriger*, 143 Ariz. 142, ———, 692 P.2d 991, 1010-1011 (1984), are mitigating factors sufficiently substantial to call for leniency. We believe the death penalty should be imposed in this case.

e. Proportionality

We conduct a proportionality review as part of our independent review to determine "whether the sentences of death are excessive or disproportionate to the penalty imposed in similar cases, considering both the crime and the defendant." *State v. Villafuerte*, supra 142 Ariz. at 332, 690 P.2d at 51, *State v. Richmond*, 114 Ariz. 186, 196, 560 P.2d 41, 51 (1976).

Our review indicates that defendant's sentence is proportionate to sentences imposed by this state upon other defendants who have committed murders having a similar degree of aggravation. We have upheld the imposition of the death sentence in numerous cases involving two or more aggravating factors and no mitigating factors sufficiently substantial to call for leniency. *E.g.*, *State v. Carriger*, supra; *State v. Fisher*, 141 Ariz. 227, 686 P.2d 750 (1984); *State v. Blazak*, 131 Ariz. 598, 643 P.2d 694 (1982). We have also upheld the death penalty where as here the crime is for the sole purpose of economic gain, *State v. Hensley*, 142 Ariz. 598, 691 P.2d 689 (1984).

The fact that defendant had a prior conviction involving the use or threat of violence and that the offense was for pecuniary gain together with insufficient mitigating circumstances brings this court to the conclusion that the crime is above the norm of first degree murders and that the defendant is above the norm of first degree murderers.

We have reviewed the entire record pursuant to A.R.S. § 13-4035 and have found no reversible error. The finding that the murders were committed in an "especially heinous, cruel or depraved manner" is set aside, but the

findings as to the other aggravating circumstances are affirmed. No mitigating circumstances sufficiently substantial to call for leniency have been shown.

The judgments and sentences are affirmed.

HOLOHAN, C.J., and HAYS, J., concur.

GORDON, Vice Chief Justice (concurring in part, dissenting in part) :

Regarding the disposition of defendant's peremptory change of judge claim, I concur in the result for different reasons than stated by the majority. I, however, dissent from affirming reimposition of the death sentence in this case.

We filed our mandate in *Poland I* on May 26, 1982. In the days immediately following this mandate the Yavapai County Attorney's office avowed to defendant's attorney that it would not retry the case. The County Attorney also made statements to the press expressing the same intentions. Defendant's attorney relied upon these private and public representations.

On June 8, 1982 the Yavapai County Attorney moved to dismiss the charges against defendant. On June 21, 1982, the trial court held a hearing on the prosecutor's motion where the prosecutor stated he was renewing his motion to dismiss. He argued that the state had lost contact with certain witnesses, others had died, still others were reluctant to testify, and that both defendants were serving 99 and 114 year sentences in federal prison for convictions arising from the same facts. He also questioned the admissibility of the testimony of a previously hypnotized witness. The prosecutor also noted that the FBI agent in charge of the case agreed that chances for successful prosecution were "extremely poor." Both defense attorneys joined the prosecutor's motion and asked the Court to give due consideration to a dismissal with prejudice under the state of the evidence.

Unlike the majority I believe that until the June 21st hearing, defense counsel had no need to file a peremptory change of judge notice. The County Attorney never gave any indication that he would prosecute defendant. To the contrary, he insisted he would not, and defendant's counsel had every right to rely upon these assurances. Further, defense counsel had no way of knowing that the trial judge would deny the motion to dismiss. Defense counsel could reasonably conclude, in fact, that moving for a change of judge would be futile or even antagonistic in view of the appearance that the case would not again go to trial. I believe the majority's construction of Rule 10.2, Ariz. R. Crim. P., 17 A.R.S., is too harsh because it would require defense lawyers to file notice of peremptory change of judge even when a trial seems improbable.

In addition, I disagree that by participating in the state's motion to dismiss defendant waived his right to peremptorily challenge the judge. The majority claims this hearing involved a contested matter of law or fact in that the state wanted a dismissal without prejudice while defendant suggested a dismissal with prejudice. By participating in a contested matter in front of the trial judge, defendant would waive his right to peremptorily challenge the judge. Rule 10.4(a), Ariz. R. Crim. P., 17 A.R.S.

The majority has taken a strained view of the record. My reading of the record reveals that the defendant had no objection to the state's motion to dismiss but asked the judge to consider dismissing the case with prejudice. The judge denied the motion to dismiss, and the question of whether the motion was to be with or without prejudice was never discussed or contested in any way at the hearing. A simple request by defense counsel for the judge to consider a dismissal with prejudice hardly constitutes a real contest of any legal issue.

I agree with the result reached by the majority, however, because defense counsel failed timely to file a per-

emptory challenge of the judge after the judge denied the state's motion to dismiss. Once defense counsel became aware that the trial judge wanted a trial, he could no longer reasonably rely upon the prosecutor's promise that he would dismiss the case. See Rule 16.5, Ariz. R. Crim. P., 17 A.R.S.; *State v. Johnson*, 122 Ariz. 260, 594 P.2d 514 (1979) (prosecutor does not have sole discretion to decide whether to dismiss; the Superior Court on good cause shown may order that a prosecution be dismissed). As defense counsel failed to file a peremptory notice of a change of judge within 10 days after the June 21st hearing, the motion was not timely.

I dissent from reimposition of the death penalty. In *Poland I* this Court reversed defendant's death penalty "conviction" for lack of sufficient evidence. The United States Supreme Court has held that such an appellate reversal is the same as a fact-finder's acquittal of the defendant. A "death penalty acquittal" is final for double jeopardy purposes, and the death sentence issue should not be retried, even after an entirely new trial on the guilt or innocence issue. See authorities cited *infra*.

The double jeopardy rule forbids retrial of a defendant who has been acquitted of the crime charged or whose conviction is reversed on appeal because of insufficient evidence. *Bullington v. Missouri*, 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (1981); *Burks v. United States*, 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978). In *Bullington*, the United States Supreme Court made these principles applicable to state death sentencing proceedings when such proceedings resemble a trial. The Court later specifically held that Arizona's death sentencing procedure is a separate trial for double jeopardy purposes, thus invoking all double jeopardy protections. *Arizona v. Rumsey*, — U.S. —, 104 S.Ct. 2305, 81 L.Ed.2d 164 (1984). In *Arizona*, therefore, if a trial court "acquits" a defendant on the ultimate issue in the death sentencing proceeding—whether to impose the death penalty—or if this Court reverses a death penalty "conviction" because

of insufficient evidence, the double jeopardy rule prohibits retrial of the death penalty issue. *Arizona v. Rumsey*, *supra*; *Bullington v. Missouri*, *supra*.

Our decision in *Poland I* was surely a reversal of defendant's death penalty "conviction" for insufficient evidence constituting a final acquittal of that charge. In *Poland I* the trial court found one aggravating circumstance upon which it based the death penalty: A.R.S. § 13-454(E)(6) (now § 13-703(F)(6)), that defendant committed the offense in an especially heinous, cruel, or depraved manner. Because of a mistake of law, however, the trial court failed to find the pecuniary gain aggravating circumstances, A.R.S. § 13-454(E)(5) (now § 13-703(F)(5)). On appeal, this Court thoroughly analyzed the lone aggravating circumstance supporting defendant's death penalty, and we found it nonexistent because of insufficient evidence. As a matter of common sense, then, when this Court struck down the sole aggravating factor found by the trial court to justify defendant's death penalty because of insufficient evidence, we necessarily reversed defendant's death penalty "conviction" for lack of sufficient evidence.

No other view of our *Poland I* decision is possible. As this Court does not write non-binding advisory opinions, the death sentence review in *Poland I* cannot be viewed as such. Further, even if our discussion in *Poland I* could somehow be construed as dicta, I had always believed that dicta was binding upon the parties in the case in which the dicta appears. It was certainly binding in the instant case.

The majority, however, explains our decision in *Poland I* by relying upon the law as it stood before *Bullington* and *Rumsey*. According to the majority,

"Our holding in *Poland I*, however, was simply that the death penalty could not be based solely upon this aggravating circumstance [cruel, heinous, or depraved] because there was insufficient evidence to

support it. This holding was not tantamount to a death penalty 'acquittal'."

Though perhaps correctly characterizing our holding in *Poland I*, the majority fails to see that the disposition in *Poland I* is unacceptable under current double jeopardy rules, which apply retroactively to this case. At the time of *Poland I* it was appropriate to resentence defendant, despite this Court's nullification of the sole aggravating circumstance against him. It was appropriate, however, only because Arizona's death sentencing procedure was not then considered a separate trial for double jeopardy purposes.

The United States Supreme Court has since changed the law, and now death sentencing procedures are separate trials for double jeopardy purposes. *Arizona v. Rumsey*, *supra*; *Bullington v. Missouri*, *supra*. Thus, in the *Poland I* death sentencing "trial" defendant was found guilty of the charge against him—whether to impose the death penalty. One basis supported that "conviction". This Court, however, found that sole basis nonexistent because of insufficient evidence. Thus, just as in any other type of trial, when this Court finds the sole basis for a conviction unsupported by the evidence, we necessarily reverse that conviction for lack of sufficient evidence. Furthermore, just as in any other type of trial, such a reversal is a final acquittal for double jeopardy purposes. *Burks v. United States*, *supra*; *Greene v. Massey*, 437 U.S. 19, 98 S.Ct. 2151, 57 L.Ed.2d 15 (1978) (applying *Burks* to the states). The majority's explanation of *Poland I* would allow appellate courts to reverse convictions for insufficient evidence and then remand to the trial court with instructions to convict the defendant of the same charge on another basis. Such a result cannot be correct.

Furthermore, as settled by *Rumsey*, the trial court's error in not finding the pecuniary gain aggravating circumstance at the first trial in no way justifies a second sentencing proceeding. In "acquitting" the defendant of

the death penalty, the trial judge in *Rumsey* made the exact legal error the trial judge made in the instant case. Nevertheless, this court and the United States Supreme Court held that the trial court's erroneous "acquittal" was final for double jeopardy purposes. As stated by the high court in *Rumsey*:

"Reliance on an error of law, however, does not change the double jeopardy effects of a judgment that amounts to an acquittal on the merits. '[T]he fact that "the acquittal may result from erroneous evidentiary rulings or erroneous interpretations of governing legal principles" * * affects the accuracy of that determination, but it does not alter its essential character.' *United States v. Scott*, 437 U.S. 82, 98, 98 S.Ct. 2187, 2197, 57 L.Ed.2d 65 (1978) (quoting *Id.*, at 106, 98 S.Ct. at 2201 BRENNAN, J., dissenting). Thus, this court's cases hold that an acquittal on the merits bars retrial even if based on legal error."

Arizona v. Rumsey, *supra*, — U.S. at ———, 104 S.Ct. at 2310-2311, 81 L.Ed.2d at 171-172. As this Court effectively "acquitted" defendant of the death penalty in *Poland I*, reimposition of the death penalty was improper, despite the trial court's error in failing to find the pecuniary gain aggravating circumstance.

The majority, however, maintains that it has reached the correct conclusion because, unlike *Bullington* and *Rumsey*, defendant in this case was sentenced to death at the first trial.¹ If I could ignore the principle established

¹ In support of this reasoning the majority cites *Knapp v. Cardwell*, 667 F.2d 1253, 1264-65 (9th Cir.), *cert. denied*, 459 U.S. 1055, 103 S.Ct. 473, 74 L.Ed.2d 621 (1982). That case, however, is inapplicable to the instant case. In *Knapp*, a class of Arizona death row inmates brought suit challenging the constitutionality of the Arizona death sentence statute and argued that, even if constitutional, its application to them violated ex post facto laws and the double jeopardy clause.

Rejecting this argument, the Ninth Circuit Court of Appeals stated:

in *Burks v. United States*, *supra*, and *Greene v. Massey*, *supra*, I might agree with the majority's argument. In *Burks* and *Greene*, however, the United States Supreme Court held that an appellate reversal for insufficient evidence has exactly the same double jeopardy effect as a jury acquittal. The *Burks* rationale is logical:

"In short, reversal for trial error, as distinguished from evidentiary insufficiency, does not constitute a decision to the effect that the government has failed to prove its case. As such, it implies nothing with respect to the guilt or innocence of the defendant. Rather, it is a determination that a defendant has been convicted through a judicial process which is defective in some fundamental respect, e.g., incorrect receipt or rejection of evidence, incorrect instruc-

"The present case is clearly distinguishable from *Bullington*. First, appellants in this case, unlike *Bullington*, were sentenced to death at their original sentencing. There exists no implied 'acquittal' in the case. See *Bullington*, 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (Justice Powell, dissenting).

* * * *

"In addition, the Arizona sentencing procedure, both before and after *Watson*, bears less resemblance to a trial than did that of Missouri. For example, the Arizona sentencing decision is made by the judge rather than the jury, and the procedure for presenting the evidence in Arizona is much less trial-like. These differences lend weight to our holding that in this case no implied acquittals have been shown to exist."

667 F.2d at 1265.

The *Knapp* reasoning is inapplicable to this case for an important reason the majority does not acknowledge: the death sentences in *Knapp* were never reversed on appeal for insufficient evidence. The death sentence in this case was reversed on appeal for insufficient evidence thus rendering it identical to a final acquittal for double jeopardy purposes. See *Burks v. United States*, *supra*.

In addition, this Court and the United States Supreme Court expressly rejected the *Knapp* analysis that our death sentencing proceeding is not like a trial. *Arizona v. Rumsey*, *supra*. *State v. Rumsey*, 136 Ariz. 166, 665 P.2d 48 (1983).

tions, or prosecutorial misconduct. When this occurs, the accused has a strong interest in obtaining a fair readjudication of his guilt free from error, just as society maintains a valid concern for insuring that the guilty are punished. See Note, *Double Jeopardy: A New Trial After Appellate Reversal for Insufficient Evidence*, 31 U. Chi. L. Rev. 365, 370 (1964).

"The same cannot be said when a defendant's conviction has been overturned due to a failure of proof at trial, in which case the prosecution cannot complain of prejudice, for it has been given one fair opportunity to offer whatever proof it could assemble. Moreover, such an appellate reversal means that the government's case was so lacking that it should not have even been *submitted* to the jury. Since we necessarily afford absolute finality to a jury's *verdict* of acquittal—no matter how erroneous its decision—it is difficult to conceive how society has any greater interest in retrying a defendant when, on review, it is decided as a matter of law that the jury could not properly have returned a verdict of guilty." (emphasis in the original)

Burks v. United States, *supra*, 437 U.S. at 15-16, 98 S.Ct. at 2149-2150, 57 L.Ed.2d at 12-13.

As explained above, our decision in *Poland I* was nothing but an appellate reversal of defendant's death penalty "conviction" for lack of sufficient evidence. As established in *Burks* and reaffirmed in *Bullington*, this reversal is exactly the same as the factfinder's acquittal of defendant on the death penalty "charge." Thus, it violated double jeopardy to retry defendant on that charge. See *Jones v. Thigpen*, 741 F.2d 805 (5th Cir. 1984) (Defendant sentenced to death at the trial court, but appellate court found insufficient evidence to support that sentence. Citing *Bullington*, *Rumsey*, *Burks* and *Greene*, the court held double jeopardy prevented state from again subjecting

defendant to death sentencing hearing in second trial.)² The majority's basis for distinguishing this case from *Bullington* and *Rumsey*, therefore, is erroneous because it concentrates only on the trial court decision while ignoring the important double jeopardy effects of our decision in *Poland I*.

Finally, I will address what I believe to be an unstated basis for the majority opinion. That is, in *Poland I*, this Court ordered an entire new trial, including both the guilt or innocence phase and the death sentencing phase. Thus, as both phases of trial are fundamentally connected to each other, if convicted, the defendant should be subject to a totally new sentencing in the second trial. Though I believe this position is entirely reasonable, the law as it now stands rejects this thinking.

First, *Bullington* established that death sentencing proceedings are wholly separate from the guilt or innocence phase for double jeopardy purposes. In *Bullington* the defendant was convicted of capital murder and sentenced

² Though *Jones v. Thigpen*, *supra*, is slightly distinguishable from the instant case, the distinguishing factor makes no difference. In *Jones*, appellant's death sentence was not reversed because of insufficient evidence supporting the aggravating factors but because insufficient evidence supported a finding that Jones killed, intended to kill or attempted to kill the victim. See *Enmund v. Florida*, 458 U.S. 782, 102 S.Ct. 3368, 73 L.Ed.2d 1140 (1982). Thus, it was an insufficiency of *Enmund* evidence that spared Jones' life.

This difference is insignificant because, like this case, *Jones*' key issue was the state's insufficient evidence supporting the death penalty. The *Jones* court agreed with the defendant "that *Enmund*'s is a rule of evidentiary sufficiency, and that because the State failed to produce sufficient evidence of personal culpability at the first trial it is barred by the Double Jeopardy Clause from a second chance." *Jones v. Thigpen*, *supra* at 814. Thus, just as I believe should be the result in this case, "if the jury under *Bullington* [the judge under *Rumsey*] or an appellate court under *Burks* finds the prosecution's evidence in support of the death penalty insufficient, the defendant cannot again be made to face a possible death sentence." *Id.* at 815.

to life imprisonment. The trial court granted a new trial on the guilt or innocence phase but refused to allow the state a second chance to attempt to sentence the defendant to death. Affirming the trial court, the United States Supreme Court held that the first death sentencing procedure was a trial for double jeopardy purposes and that the acquittal the defendant received in that trial prevented a retrial on the death sentence in the second murder trial. Thus, whether or not an appellate court grants a new trial on the guilt or innocence phase, a final acquittal in the death sentencing phase prevents a retrial of defendant on the death sentence issue.

As previously shown, then, our reversal of defendant's death sentence in *Poland I* equalled a final acquittal on that issue, and, as *Bullington* shows, that final acquittal in the first trial prevents retrial of the death sentence in the second trial.

The result I urge in this case is in no way bizarre or unheard of. It is simply a matter of logically applying existing law. Other courts have reached the exact result I argue for. In a case decided before *Bullington*, the Court of Criminal Appeals in Texas reversed the guilt or innocence phase of a defendant's trial for legal error and reversed imposition of the death penalty for insufficient evidence. *Brasfield v. State*, 600 S.W.2d 288 (Tex.Crim.App.1980). In remanding the case to the trial court, the appeals court, citing *Burks and Greene*, held that the defendant could not again be tried for capital murder where the state seeks the death penalty. The United States Supreme Court cited *Brasfield* in footnote 9 of *Bullington*.

In a case subsequent to *Bullington*, the presiding judge of the Texas Court of Criminal Appeals gave an able analysis of the situation confronting us today:

"The evidence being insufficient to support the assessment of the death penalty, death is no longer an available penalty. *Brasfield v. State*, 600 S.W.

2d 288 (Tex. Cr.App. 1980); *Bullington v. Missouri*, [451] U.S. [430], 101 S.Ct. 1852, 68 L.Ed.2d 1270 (1981); *Burks v. United States*, 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978); *Greene v. Massey*, 437 U.S. 19, 98 S.Ct. 2151, 57 L.Ed.2d 15 (1978). In a capital murder case where the evidence is insufficient to support the death penalty assessed, the reviewing court, before deciding on the proper disposition of the appeal, must determine if the guilt stage is free from reversible error. If the guilt stage is not free of such error, the cause must be reversed for such error, and upon any retrial the death penalty would not be an available penalty."

Wallace v. State, 618 S.W.2d 67, 74 (Tex. Crim.App. 1981).

Today, however, the majority holds that a death sentence "conviction" reversed on appeal for insufficient evidence invokes no double jeopardy protections. This holding is contrary to the law established in *Arizona v. Rumsey*, *supra*; *Bullington v. Missouri*, *supra*; *Burks v. United States*, *supra*; and *Greene v. Massey*, *supra* and I, therefore, dissent. Accordingly, I would reduce defendant's sentence to life imprisonment without possibility of parole for twenty-five years.

FELDMAN, Justice:

I concur in Vice Chief Justice Gordon's special concurrence and dissent.

SUPREME COURT OF ARIZONA
IN BANC

No. 4969-2

STATE OF ARIZONA, APPELLEE,

v.

MICHAEL KENT POLAND, APPELLANT

March 20, 1985.

CAMERON, Justice.

Defendant, Michael Poland, was tried before a jury and found guilty of two counts of first degree murder in violation of A.R.S. § 13-1105(A)(1). He was sentenced to death under A.R.S. § 13-703. He appealed and we reversed the conviction because of jury misconduct. *See State v. Poland*, 132 Ariz. 269, 645 P.2d 784 (1982) (Poland I). Defendant was retried, convicted and again sentenced to death. He appeals. We have jurisdiction pursuant to Art. 6, § 5(3) of the Arizona Constitution, and A.R.S. §§ 13-4031 and 13-4035.

Defendant Michael Poland was retried jointly with his brother Patrick. The facts in Michael's case are the same as those set forth in the case of *State v. Patrick Poland*, — Ariz. —, 698 P.2d 183 filed this day. They need not be repeated here.

With the few exceptions noted below, Michael raises the same issues on appeal as does Patrick. Since we have disposed of these issues in Patrick's case, we need not

consider them again. We only note that as in Patrick's case, we found no error as to the issues raised.

We, therefore, consider only the following questions:

1. Did the trial court admit nonrelevant evidence to prove an aggravating circumstance?
2. Upon an independent review of the matter, is the imposition of the death penalty appropriate?
3. Is the imposition of the death penalty in this case disproportionate to the penalty in other first degree murder cases?

After trial, conviction and judgment of guilt, the trial judge held a hearing in aggravation and mitigation pursuant to A.R.S. § 13-703. The court found as aggravating circumstances:

- a. That the offense was committed in "an especially heinous, cruel or depraved manner" § 13-703(F)(6), and
- b. That the offense was committed in "consideration for the receipts, or in expectation of the receipt, of anything of pecuniary value." § 13-703(F)(5).

The court found as mitigating factors defendant's close family ties, and that he was a model prisoner. § 13-703(G). The mitigating factors were not found sufficiently substantial to call for leniency. § 13-703(E).

NONRELEVANT EVIDENCE

During the course of the trial, testimony was adduced that defendant was seen reading a manual of police procedures. Although the manual was not admitted at trial, it was admitted at the aggravation/mitigation hearing. The contested police manual discusses, *inter alia*, the use of handcuffs and chemical agents. Although use of such instruments, if proven, might have been relevant to the "heinous, cruel or depraved" aggravating circumstance of A.R.S. § 13-703(F)(6), their use was purely speculative. Since we find below that the aggravating circumstance of "heinous, cruel or depraved" was improperly found, the

admission of the manual was not prejudicial. We find no error.

INDEPENDENT REVIEW

This court will, in all death cases, make an independent review of the facts to determine for itself the aggravating and mitigating factors. *State v. Smith*, 138 Ariz. 79, 85, 673 P.2d 17, 23 (1983); *State v. Richmond*, 136 Ariz. 312, 317, 666 P.2d 57, 62, cert. denied, — U.S. —, 104 S.Ct. 435, 78 L.Ed.2d 367 (1983).

A. Aggravating Circumstances

Defendant contends that the sentencing court erred in its findings that the murders in this case were “especially heinous, cruel or depraved.” A.R.S. § 13-703(F)(6). From a review of the record, and for the same reasons set forth in *State v. Patrick Poland*, *supra*, we agree. See also *Poland I*.

The State has, however, proven beyond a reasonable doubt that defendant “committed the offense as consideration for the receipt, or in the expectation of the receipt, of anything of pecuniary value.” A.R.S. § 13-703(F)(5). This circumstance is applied to murders having a “financial motivation.” *State v. Villafuerte*, 142 Ariz. 323, 690 P.2d 42, 47 (1984); *State v. Graham*, 135 Ariz. 209, 212, 660 P.2d 460, 463 (1983); *State v. Clark*, 126 Ariz. 428, 436, 616 P.2d 888, 896, cert. denied, 449 U.S. 1067, 101 S.Ct. 796, 66 L.Ed.2d 612 (1980). Defendant obtained numerous items for the purpose of robbing the Purolator van and ultimately disposing of the guards’ bodies. In particular, the purchase of the canvas bags in which the victims’ bodies were found, indicates that their murders were contemplated during the planning of the robbery. It is clear, therefore, that these murders were part of an overall scheme to obtain items of pecuniary value. *State v. Nash*, 143 Ariz. 392, —, 694 P.2d 222, 235 (1985).

B. Mitigating Circumstances

Defendant raises two arguments relating to mitigating circumstances. First, he argues that the sentencing

court's failure to find good reputation as a mitigating circumstance was error. We do not agree.

Defendant presented numerous letters written by family members and acquaintances attesting to his good reputation. This evidence was, however, contradicted by defendant's statements during trial that he engaged in numerous criminal activities including robbing drug dealers and selling illicit gems. Although the jury did not accept defendant's alibi that he was engaged in such a transaction at the time these offenses were committed, we are not required to ignore defendant's admissions that he had at other times engaged in criminal conduct.

Defendants have the burden of proving mitigating factors by a preponderance of the evidence. *State v. McMurtrey*, 143 Ariz. 71, 72-73, 691 P.2d 1099, 1100-1101, (1984). The court may take cognizance of evidence tending to refute a mitigating circumstance. See *State v. Smith*, 131 Ariz. 29, 638 P.2d 696 (1981). In light of conflicting evidence as to defendant's reputation, we do not believe that defendant has shown good reputation as a mitigating factor.

Defendant next attaches error to the sentencing court's discussion of close family ties as a mitigating circumstance. The trial court found the existence of this mitigating factor but stated:

The Court does find the close family ties of the—that exist between the Defendants' families and their children as a mitigating circumstance. I don't want this to be misconstrued as an opinion of this Court that this in fact made them good husbands and fathers. On the contrary, the exact opposite would be true. It would be impossible to conceive of good husbands and fathers committing crimes of this nature, and thereby bearing the aura of being a good family man. I suspect the only possible self-justification that may be available to you both is that you somehow did this for your children and families, but of course

quite the opposite is the result, and you have in fact destroyed your families, and I suspect that the best thing that you could do at this point would be to admit to them that you have committed these offenses, let them face up to it, let them try to prepare their lives in a manner that will permit them to exist in the future, otherwise you have destroyed them forever.

The court used defendant's close family ties as a mitigating circumstance but devalued it to the point that it was not "sufficiently substantial to call for leniency." *State v. Gretzler*, 135 Ariz. 42, 54, 659 P.2d 1, 13, cert. denied, 461 U.S. 971, 103 S.Ct. 2444, 77 L.Ed.2d 1327 (1983). We agree with the trial court—it was a mitigating factor but not substantial enough to overcome the aggravating factor. See also *State v. Patrick Poland*, *supra*.

We further find that neither defendant's age, thirty-six at the time of the offenses, *State v. Clark*, *supra*, 126 Ariz., at 437, 616 P.2d at 897; nor the fact that he was a model prisoner, *State v. Carriger*, 143 Ariz. 142, ———, 692 P.2d 991, 1010-1011 (1984), are mitigating factors sufficiently substantial to call for leniency.

PROPORTIONALITY REVIEW

We conduct a proportionality review as part of our independent review to determine "whether the sentences of death are excessive or disproportionate to the penalty imposed in similar cases, considering both the crime and the defendant." *State v. Villafuerte*, *supra*, 142 Ariz., at 332, 690 P.2d at 51; *State v. Richmond*, 114 Ariz. 186, 196, 560 P.2d 41, 51 (1976).

Our review indicates that defendant's sentence is proportionate to sentences imposed in this state upon other defendants who have committed murders having a similar degree of aggravation. We have upheld the imposition of

the death sentence in numerous cases involving only one aggravating factor and no mitigating factors sufficiently substantial to call for leniency. *E.g.*, *State v. Villafuerte*, *supra*; *State v. Chaney*, 141 Ariz. 295, 686 P.2d 1265 (1984); *State v. Smith*, 138 Ariz. 79, 673 P.2d 17 (1983), cert. denied, — U.S. —, 104 S.Ct. 1429, 79 L.Ed.2d 753 (1984).

In a similar case involving a murder for pecuniary gain, we stated:

In this case, the murders were a part of the overall scheme of the robbery with the specific purpose to facilitate the robbers escape. The defendant had the three victims lie on the floor during the robbery and before leaving the bar shot each victim in turn with the intent that no witnesses be left to identify the robbers. The murders were not unexpected or accidental. *Cf. State v. Poland*, 132 Ariz. 269, 645 P.2d 784 (1982) (drowning Purolator guards after robbery); *State v. Gretzler*, *supra*, (defendants committed the murders "to obtain a substitute car in which they could continue their flight"); *State v. Tison*, 129 Ariz. 546, 633 P.2d 355 (1981); cert. denied, 459 U.S. 882, 103 S.Ct. 180, 74 L.Ed.2d 147 (1982) (homicides were committed to secure a vehicle in which assailants could continue their flight).

State v. Hensley, 142 Ariz. 598, 604, 691 P.2d 689, 695 (1984).

We have reviewed the entire record pursuant to A.R.S. § 13-4035 and have found no reversible error. The finding that the murders were committed in an "especially heinous, cruel or depraved manner" is reversed, but the finding as to the "pecuniary gain" aggravating circumstance is affirmed. No mitigating circumstances sufficiently substantial to call for leniency have been found.

The judgments and sentences are affirmed.

HOLOHAN, C.J., and HAYS, J., concur.

GORDON, Vice Chief Justice (concurring in part and dissenting in part) :

For the reasons stated in *State v. Patrick Gene Poland*, — Ariz. —, 698 P.2d 183 (1985), I concur in affirming defendant's conviction but dissent from the reimposition of the death penalty.

FELDMAN, Justice:

I concur in Vice Chief Justice Gordon's special concurrence and dissent.

ORDER DENYING MOTION FOR RECONSIDERATION

**SUPREME COURT
STATE OF ARIZONA**

201 West Wing
Capitol Building
(602) 255-4536
Phoenix 85007

May 8, 1985

RE: STATE vs. MICHAEL KENT POLAND
Supreme Court No. 4969-2
Yavapai County No. 8850

GREETINGS:

The following action was taken by the Supreme Court of the State of Arizona on May 7, 1985, in regard to the above-referenced cause:

“ORDERED: Motion for Reconsideration—DENIED.

Justices Gordon and Feldman voting to grant.”

Copy of Mandate (Order Affirming Judgment of Conviction and Sentence of Death) enclosed.

S. ALAN COOK, Clerk

TO: H. Kemp Wilhelmsen, Esq.
Hon. Robert K. Corbin, Attorney General—Attn:
William J. Schafer III, Esq. and Gerald R.
Grant, Esq.
Charles R. Hastings, Yavapai County Attorney
Michael Kent Poland

A.R.S. § 13-454 (DEATH PENALTY STATUTE)

13-454. Proceedings for determining sentence upon the finding or admitting of guilt in cases of murder in the first degree

A. WHEN A DEFENDANT IS FOUND GUILTY OF OR PLEADS GUILTY TO FIRST DEGREE MURDER, THE JUDGE WHO PRESIDED AT THE TRIAL OR BEFORE WHOM THE GUILTY PLEA WAS ENTERED SHALL CONDUCT A SEPARATE SENTENCING HEARING TO DETERMINE THE EXISTENCE OR NONEXISTENCE OF THE CIRCUMSTANCES SET FORTH IN SUBSECTION E AND F, FOR THE PURPOSE OF DETERMINING THE SENTENCE TO BE IMPOSED. THE HEARING SHALL BE CONDUCTED BEFORE THE COURT ALONE.

B. IN THE SENTENCING HEARING THE COURT SHALL DISCLOSE TO THE DEFENDANT OR HIS COUNSEL ALL MATERIAL CONTAINED IN ANY PRESENTENCE REPORT, IF ONE HAS BEEN PREPARED, EXCEPT SUCH MATERIAL AS THE COURT DETERMINES IS REQUIRED TO BE WITHHELD FOR THE PROTECTION OF HUMAN LIFE. ANY PRESENTENCE INFORMATION WITHHELD FROM THE DEFENDANT SHALL NOT BE CONSIDERED IN DETERMINING THE EXISTENCE OR NONEXISTENCE OF THE CIRCUMSTANCES SET FORTH IN SUBSECTION E OR F. ANY INFORMATION RELEVANT TO ANY OF THE MITIGATING CIRCUMSTANCES SET FORTH IN SUBSECTION F MAY BE PRESENTED BY EITHER THE PROSECUTION OR THE DEFENDANT. REGARDLESS OF ITS ADMISSIBILITY UNDER THE RULES GOVERNING ADMISSION OF EVIDENCE AT CRIMINAL TRIALS; BUT THE ADMISSIBILITY OF INFORMATION RELEVANT TO ANY OF THE AGGRAVATING CIRCUMSTANCES SET FORTH IN SUBSECTION E SHALL

BE GOVERNED BY THE RULES GOVERNING THE ADMISSION OF EVIDENCE AT CRIMINAL TRIALS. EVIDENCE ADMITTED AT THE TRIAL, RELATING TO SUCH AGGRAVATING OR MITIGATING CIRCUMSTANCES, SHALL BE CONSIDERED WITHOUT REINTRODUCING IT AT THE SENTENCING PROCEEDING. THE PROSECUTION AND THE DEFENDANT SHALL BE PERMITTED TO REBUT ANY INFORMATION RECEIVED AT THE HEARING, AND SHALL BE GIVEN FAIR OPPORTUNITY TO PRESENT ARGUMENT AS TO THE ADEQUACY OF THE INFORMATION TO ESTABLISH THE EXISTENCE OF ANY OF THE CIRCUMSTANCES SET FORTH IN SUBSECTIONS E AND F. THE BURDEN OF ESTABLISHING THE EXISTENCE OF ANY OF THE CIRCUMSTANCES SET FORTH IN SUBSECTION E IS ON THE PROSECUTION. THE BURDEN OF ESTABLISHING THE EXISTENCE OF THE CIRCUMSTANCES SET FORTH IN SUBSECTION F IS ON THE DEFENDANT.

C. THE COURT SHALL RETURN A SPECIAL VERDICT SETTING FORTH ITS FINDINGS AS TO THE EXISTENCE OR NONEXISTENCE OF EACH OF THE CIRCUMSTANCES SET FORTH IN SUBSECTION E AND AS TO THE EXISTENCE OR NONEXISTENCE OF EACH OF THE CIRCUMSTANCES IN SUBSECTION F.

D. IN DETERMINING WHETHER TO IMPOSE A SENTENCE OF DEATH OR LIFE IMPRISONMENT WITHOUT POSSIBILITY OF PAROLE UNTIL THE DEFENDANT HAS SERVED TWENTY-FIVE CALENDAR YEARS, THE COURT SHALL TAKE INTO ACCOUNT THE AGGRAVATING AND MITIGATING CIRCUMSTANCES ENUMERTED IN SUBSECTIONS E AND F AND SHALL IMPOSE A SENTENCE OF DEATH IF THE COURT FINDS ONE OR MORE OF THE AGGRAVATING CIRCUMSTANCES ENUMER-

ATED IN SUBSECTION E AND THAT THERE ARE NO MITIGATING CIRCUMSTANCES SUFFICIENTLY SUBSTANTIAL TO CALL FOR LENIENCY.

E. AGGRAVATING CIRCUMSTANCES TO BE CONSIDERED SHALL BE THE FOLLOWING:

1. THE DEFENDANT HAS BEEN CONVICTED OF ANOTHER OFFENSE IN THE UNITED STATES FOR WHICH UNDER ARIZONA LAW A SENTENCE OF LIFE IMPRISONMENT OR DEATH WAS IMPOSSIBLE.

2. THE DEFENDANT WAS PREVIOUSLY CONVICTED OF A FELONY IN THE UNITED STATES INVOLVING THE USE OR THREAT OR VIOLENCE ON ANOTHER PERSON.

3. IN THE COMMISSION OF THE OFFENSE THE DEFENDANT KNOWINGLY CREATED A GRAVE RISK OF DEATH TO ANOTHER PERSON OR PERSONS IN ADDITION TO THE VICTIM OF THE OFFENSE.

4. THE DEFENDANT PROCURED THE COMMISSION OF THE OFFENSE BY PAYMENT, OR PROMISE OF PAYMENT, OF ANYTHING OF PECUNIARY VALUE.

5. THE DEFENDANT COMMITTED THE OFFENSE AS CONSIDERATION FOR THE RECEIPT, OR IN EXPECTATION OF THE RECEIPT, OF ANYTHING OF PECUNIARY VALUE.

6. THE DEFENDANT COMMITTED THE OFFENSE IN AN ESPECIALLY HEINOUS, CRUEL, OR DEPRAVED MANNER.

F. MITIGATING CIRCUMSTANCES SHALL BE THE FOLLOWING:

1. HIS CAPACITY TO APPRECIATE THE WRONGFULNESS OF HIS CONDUCT OR TO CONFORM HIS

CONDUCT TO THE REQUIREMENTS OF LAW WAS SIGNIFICANTLY IMPAIRED, BUT NOT SO IMPAIRED AS TO CONSTITUTE A DEFENSE TO PROSECUTION.

2. HE WAS UNDER UNUSUAL AND SUBSTANTIAL DURESS, ALTHOUGH NOT SUCH DURESS AS TO CONSTITUTE A DEFENSE TO PROSECUTION.

3. HE WAS A PRINCIPAL, UNDER SECTION 13-452, ARIZONA REVISED STATUTES, IN THE OFFENSE, WHICH WAS COMMITTED BY ANOTHER, BUT HIS PARTICIPATION WAS RELATIVELY MINOR, ALTHOUGH NOT SO MINOR AS TO CONSTITUTE A DEFENSE TO PROSECUTION.

4. HE COULD NOT REASONABLY HAVE FORESEEN THAT HIS CONDUCT IN THE COURSE OF THE COMMISSION OF THE OFFENSE FOR WHICH HE WAS CONVICTED WOULD CAUSE, OR WOULD CREATE A GRAVE RISK OF CAUSING, DEATH TO ANOTHER PERSON.

SUPREME COURT OF THE UNITED STATES

No. 85-5023

PATRICK GENE POLAND, PETITIONER

v.

ARIZONA

ON PETITION FOR WRIT OF CERTIORARI TO THE
SUPREME COURT OF THE STATE OF ARIZONA

ON CONSIDERATION of the motion for leave to proceed herein *in forma pauperis* and of the petition for writ of certiorari, it is ordered by this Court that the motion to proceed *in forma pauperis* be, and the same is hereby, granted; and that the petition for writ of certiorari be, and the same is hereby granted, limited to Question 1 presented by the petition. This case is consolidated with 85-5024, *Michael Kent Poland v. Arizona*, and a total of one hour is allotted for oral argument.

October 7, 1985

SUPREME COURT OF THE UNITED STATES

No. 85-5024

MICHAEL KENT POLAND, PETITIONER

v.

ARIZONA

ON PETITION FOR WRIT OF CERTIORARI TO THE
SUPREME COURT OF THE STATE OF ARIZONA

ON CONSIDERATION of the motion for leave to proceed herein *in forma pauperis* and of the petition for writ of certiorari, it is ordered by this Court that the motion to proceed *in forma pauperis* be, and the same is hereby, granted; and that the petition for writ of certiorari be, and the same is hereby, granted. This case is consolidated with case No. 85-5023, *Patrick Gene Poland v. Arizona*, and a total of one hour is allotted for oral argument.

October 7, 1985

No. 85-5023
No. 85-5024

Supreme Court, U.S.
FILED
DEC 10 1985
JOSEPH F. SPANIOL, JR.
CLERK

IN THE
Supreme Court of the United States
OCTOBER TERM, 1985

PATRICK GENE POLAND, *Petitioner*,
v.
ARIZONA, *Respondent*.

MICHAEL KENT POLAND, *Petitioner*,
v.
ARIZONA, *Respondent*.

On Writs For Certiorari To The Supreme
Court Of Arizona

PETITIONER'S BRIEF ON THE MERITS

*MARC E. HAMMOND
(602) 445-5935
PERRY, HAMMOND, DRUTZ
& MUSGROVE
P.O. Box 2720
Prescott, Arizona 86302
Attorney for Petitioner
Patrick Gene Poland

*H. K. WILHELMSSEN
(Appointed by this Court)
P.O. Box 2321
Prescott, Arizona 86302
(602) 445-3188
Attorney for Petitioner
Michael Kent Poland

*Counsel of Record

QUESTIONS PRESENTED FOR REVIEW

Does the double jeopardy clause of the fifth amendment to the United States Constitution prevent the State of Arizona from reimposing the death penalty following retrial, when on appeal from the first trial, the Supreme Court of Arizona granted a new trial on guilt and struck the only aggravating circumstance to support the death penalty because of insufficient evidence?

TABLE OF CONTENTS

	Page
CITATION TO JUDGMENT BELOW	1
JURISDICTION.....	1
CONSTITUTIONAL PROVISION INVOLVED	1
STATEMENT OF THE CASE	1
SUMMARY OF ARGUMENT.....	10
ARGUMENT	11
CONCLUSION.....	18

TABLE OF CASES AND AUTHORITIES

CASES:	Page
<i>Arizona v. Rumsey</i> , ____ U.S. ____ 104 S.Ct. 2305, 81 L.Ed.2d 164 (1984)	10, 14, 15, 16, 17, 18
<i>Bullington v. Missouri</i> , 451 U.S. 430 (1981).	7, 10, 14, 18
<i>Burks v. United States</i> , 437 U.S. 1 (1978).	10, 14, 15, 16, 18
<i>Godfrey v. Francis</i> , 613 F.Supp. 747 (D.C.GA. 1985)	18
<i>Godfrey v. Georgia</i> , 446 U.S. 420 (1980)	18
<i>Green v. Massey</i> , 437 U.S. 19 (1978).	11, 15, 16, 18
<i>Hudson v. Louisiana</i> , 450 U.S. 40 (1981).	15, 16, 18
<i>Jones v. Thigpen</i> , 741 F.2d 805 (5th Cir. 1984), cert. pending, <i>Thigpen v. Jones</i> , No. 84-1237, filed Janaury 30, 1985.	17
<i>Knapp v. Cardwell</i> , 667 F.2d 1253, (9th Cir.), cert. denied, 459 U.S. 1055 (1982).	16, 17
<i>Knapp v. Cardwell</i> , 513 F.Supp. 4 (1980).	16
<i>State v. Jordan</i> , 614 P.2d 825, cert. denied, 449 U.S. 986 (Ariz. 1980)	3
<i>State v. Poland</i> , 645 P.2d 784 (1982).	4, 6, 14
<i>State v. Poland</i> , 698 P.2d 183 (Ariz. 1985).	1, 9
<i>State v. Poland</i> , 698 P.2d 207 (Ariz. 1985).	1, 9
<i>State v. Rumsey</i> , 665 P.2d 48 (Ariz. 1983)	15
<i>State v. Valencia</i> , 602 P.2d 807 (Ariz. 1979).	17
<i>State v. Watson</i> , 586 P.2d 1253, cert. denied, 440 U.S. 924 (Ariz. 1978).	2, 16
<i>United States v. Morrison</i> , 429 U.S. 1 (1976)	16
<i>Young v. Kemp</i> , 760 F.2d 1097, 1101 (11th Cir. 1985), cert. pending, <i>Kemp v. Young</i> , No. 85-121 filed July 18, 1985.	17

AUTHORITIES

Ariz. Rev.Stat. Ann. § 12-102	11
Ariz. Rev.Stat. Ann. § 13-451	2
Ariz. Rev.Stat. Ann. § 13-452	2
Ariz. Rev.Stat. Ann. § 13-453	2
Ariz. Rev.Stat. Ann. § 13-454	2, 3, 4, 7, 8, 17
Ariz. Rev.Stat. Ann. § 13-4031	11
Ariz. Rev.Stat. Ann. § 13-4032	4, 12
Ariz. Rev.Stat. Ann. § 13-4035	12
Ariz. Rev.Stat. Ann. § 13-4036	13

Table of Cases and Authorities Continued

	Page
Ariz. Rev. Stat. Ann. § 13-4037.....	13
Ariz. Rev. Stat. Ann. § 13-1712(4), as amended laws 1969, Chapter 133, Section 11	4
28 U.S.C. § 1257(3).....	1, 10
Fifth Amendment to the United States Constitution. . .	1, 10
Arizona Constitution, Article 6, Section 5.....	11
17 Arizona Rules of Criminal Procedure, Rule 26.15....	4
17 Arizona Rules of Criminal Procedure, Rule 31.2B ...	11

CITATIONS TO JUDGMENTS BELOW

1. Petitioner, PATRICK GENE POLAND: *State v. Poland*, 698 P.2d 183 (Ariz. 1985).
2. Petitioner, MICHAEL KENT POLAND: *State v. Poland*, 698 P.2d 207 (Ariz. 1985).

JURISDICTION

The judgment of the Supreme Court of Arizona was entered on March 20, 1985, a timely motion for rehearing was denied on May 7, 1985. This courts jurisdiction is invoked under 28 U.S.C. § 1257(3). On October 7, 1985, the United States Supreme Court granted the petitioner's motions for leave to proceed *in forma pauperis* and granted the Writ of Certiorari in No. 85-5023 limited to the question of double jeopardy and also granted the petitioner's Writ of Certiorari for No. 85-5024 and consolidated the cases for oral argument.

CONSTITUTIONAL PROVISION INVOLVED

The fifth amendment to the United States Constitution states:

"No person shall be held to answer for a capital, or otherwise infamous crime, unless on a presentment or indictment of a Grand Jury, except in cases arising in the land or naval forces, or in the Militia, when in actual service in time of War or public danger; nor shall any person be subject for the same offense to be twice put in jeopardy of life or limb; nor shall be compelled in any criminal case to be witness against himself, nor be deprived of life, liberty or property, without due process of law; nor shall private property be taken for public use, without just compensation."

STATEMENT OF THE CASE

The petitioners were indicted by the Yavapai County Grand Jury on April 26, 1979, on two counts of first degree

murder in violation of former Ariz. Rev. Stat. Ann. § 13-451 and § 13-452. The indictment alleged that the petitioners had killed two Purolator security guards on or about May 25, 1977. The trial jury found the petitioners guilty as charged by verdict dated November 24, 1979.

The law in effect at that time being Ariz. Rev. Stat. Ann. § 13-453, sets forth the punishment for murder:

“a. A person guilty of murder in the first degree shall suffer death or imprisonment in the State prison or life, without possibility of parole until the completion of the service of twenty-five calendar years in the State prison, as determined by and in accordance with the procedures provided in § 13-454.”

Pursuant to Ariz. Rev. Stat. Ann. § 13-454A, the trial judge without a jury, shall conduct a separate sentencing hearing to determine the existence or non-existence of statutory aggravating circumstances and statutory mitigating circumstances for the purpose of determining whether to impose a life or death sentence. By judicial interpretation of Ariz. Rev. Stat. Ann. § 13-454, the court may take into consideration any non-statutory mitigating circumstances. (*State v. Watson*, 586 P.2d 1253, cert. denied, 440 U.S. 924 (Ariz. 1978).

In conducting the hearing, information relevant to any of the statutory aggravating circumstances is governed by the rules for the admission of evidence in criminal trials. Evidence admitted during the trial relating to aggravating or mitigating circumstances shall be considered without reintroduction in the sentencing proceedings. The burden of proof in establishing the existence of statutory aggravating circumstances is upon the prosecution. (Ariz. Rev. Stat. Ann. § 13-454B, Appendix pages 135-136.) In order to impose the death penalty the trial judge must find beyond a reasonable doubt the existence

of one or more statutory aggravating circumstances. (*State v. Jordan*, 614 P.2d 825, cert. denied, 449 U.S. 986 (Ariz. 1980).)

The trial judge shall return a special verdict setting forth its findings as to the existence or non-existence of each of the statutory aggravating circumstances and likewise as to the statutory mitigating and non-statutory mitigating circumstances. (Ariz. Rev. Stat. Ann. § 13-454C, Appendix page 136.)

In determining whether to impose a life or death sentence the court shall take into consideration statutory aggravating circumstances and mitigating circumstances and shall impose the death penalty if it finds at least one statutory aggravating circumstance and no mitigating circumstances sufficiently substantial to call for leniency. (Ariz. Rev. Stat. Ann. § 13-454D, Appendix page 136.)

The trial judge conducted a sentencing hearing on February 29, 1980. The Respondent relied on evidence submitted during trial and requested the death penalty based upon § 13-454E(5), the petitioners committed the offense as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value and § 13-454E(6), the petitioners committed the offense in an especially heinous, cruel or depraved manner. (Appendix pages 8, 9 and 10.) The petitioners presented mitigation testimony of six witnesses and requested consideration of various letters submitted to the Adult Probation office.

On April 9, 1980, the trial judge issued his special verdict finding one aggravating circumstance that the murders were especially heinous, especially cruel and especially depraved.¹ (Special Verdict, April 9, 1980,

¹ The correct statutory provision was former Ariz. Rev. Stat. Ann. § 13-454(E)(6).

Appendix pages 15-17.) The court specifically found the statutory aggravating factors in § 13-454E(1)(2) and (3)² were not present. The trial judge found no statutory mitigating circumstances, but did find that the petitioners' previous reputation for good character and the close family ties that existed between the petitioners and their families were factors in mitigation. He considered the ages of the petitioners at the time of sentencing. (Appendix pages 16-17.)

The trial judge pronounced sentence on April 9, 1980, finding one aggravating circumstance and no mitigating circumstances sufficiently substantial to call for leniency and imposed the death penalty on each petitioner. (Sentencing Transcript, April 9, 1980, Appendix pages 11-14.)

Pursuant to Rule 26.15, Arizona Rules of Criminal Procedure, the Clerk of the Court files a notice of appeal when the death penalty is imposed. Ariz. Rev. Stat. Ann. § 13-1712(4), as amended laws 1969, Chapter 133, Section 11, (now numbered § 13-4032), authorizes the State to appeal from a ruling on a question of law adverse to the State when the petitioner was convicted and appeals from the judgment. The Respondent herein did not cross appeal.

On April 13, 1982, the Supreme Court of the State of Arizona, reversed the conviction and remanded for a new trial. (*State v. Poland*, 645 P.2d 784 (1982), Appendix page 34.) The reversal was based on the courts finding that the jury had been guilty of misconduct because it had considered evidence not admitted to trial. In their joint appellate brief, petitioners argued there was insufficient evi-

² The correct statutory provision was former Ariz. Rev. Stat. Ann. § 13-454 E(5)

dence to support the trial court's finding of aggravating circumstances especially heinous, especially cruel and especially depraved. The Arizona Supreme Court agreed with the petitioners and responded as follows:

We do not believe that the evidence so far produced in this case shows that the murders were cruel. We have interpreted "cruel" as "disposed to inflict pain esp. in a wanton, insensate or vindictive manner: sadistic." *State v. Lujan*, 124 Ariz. 365, 372, 604 P.2d 629, 636 (1979), quoting Webster's Third New International Dictionary. There was no evidence of suffering by the guards. The autopsy revealed no evidence that they had been bound or injured prior to being placed in the water, and there was no sign of a struggle. Cruelty has not been shown beyond a reasonable doubt. *State v. Lujan*, supra; *State v. Ortiz*, Ariz., 639 P.2d 1020 (1981); *State v. Bishop*, 127 Ariz. 531, 622 P.2d 478 (1980); *State v. Knapp*, 114 Ariz. 531, 562 P.2d 704 (1977), cert. denied 435 U.S. 908, 98 S.Ct. 1458, 55 L.Ed.2d 500 (1978).

Neither does the evidence support a finding that the murders were heinous or depraved. These terms were defined in *State v. Lujan*, supra:

"heinous: hatefully or shockingly evil; grossly bad

* * * *

"depraved: marked by debasement, corruption, perversion or deterioration." 124 Ariz. at 372, 604 P.2d at 636.

The issue focuses on the state of mind of the killer. *State v. Lujan*, supra. The difficulty in making this determination in the case at bar is that there is very little evidence in the record of the exact circumstances of the guards' deaths. Although defendants' state of mind may be inferred from their behavior at or near the time of the offense, *State v. Lujan*, supra, we know nothing of the circumstances under which the guards were held hostage.

The State must prove the existence of aggravating circumstances beyond a reasonable doubt. *State v. Jordan*, 126 Ariz. 283, 614 P.2d 825, cert. denied 449 U.S. 986, 101 S.Ct. 408, 66 L.Ed.2d 251 (1980). We do not believe it has been shown beyond a reasonable doubt that the murders were committed in an "especially heinous, cruel or depraved manner."

We do note, however, that the trial court mistook the law when it did not find that the defendants "committed the offense as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value." Ariz.Rev.Stat.Ann. § 13-454(E)(5). In so holding, the trial judge stated:

"5. The court finds the aggravating circumstance in § 13-454E(5) is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00.

"This, then, would be an aggravating circumstance."

It was not until after the trial in this case that we held, in *State v. Clark*, supra, that A.R.S. § 13-454(E)(5) was not limited to "murder for hire" situations, but may be found where any expectation of financial gain was a cause of the murder. Upon retrial, if the defendants are again convicted of first degree murder, the court may find the existence of this aggravating circumstance.

Reversed and remanded for a new trial pursuant to this opinion. (*State v. Poland*, 645 P.2d 784, 800, 801 (1982), Appendix pages 61-63.)

A retrial of the petitioners guilt commenced on October 18, 1982. The jury again found the petitioners guilty as charged in the indictment by verdict dated November 18, 1982. On December 9, 1982, the Respondent filed its notice of intent to seek the death sentence. (Appendix pages 64-70.)

As to the petitioner, PATRICK GENE POLAND, the Respondent alleged three aggravating circumstances:

1. The aggravating circumstance set out in Ariz.Rev.Stat.Ann. § 13-454(E)(2), the defendant was previously committed of a felony in the United States involving the use or threat of violence on another person.

2. Ariz.Rev.Stat.Ann. § 13-454(E)(5), the defendant committed the offense as consideration for the receipt, or in the expectation of the receipt, of anything of pecuniary value.

3. Ariz.Rev.Stat.Ann. § 13-454(E)(6), the defendant committed the offense in an especially heinous, cruel or depraved manner.

As to the petitioner MICHAEL KENT POLAND, the respondent sought the death penalty based upon two aggravating circumstances:

1. Ariz.Rev.Stat.Ann. § 13-454(E)(5), the defendant committed the offense as consideration for the receipt, or in the expectation of the receipt, of anything of pecuniary value.

2. Ariz.Rev.Stat.Ann. § 13-454(E)(6), the defendant committed the offense in an especially heinous, cruel or depraved manner.

The trial court conducted a sentencing hearing on December 16, 1982, and again on January 11, 1983. Petitioners filed a sentencing memorandum on January 19, 1983, raising a double jeopardy issue based upon *Bullington v. Missouri*, 451 U.S. 430 (1981). The trial judge issued his special verdict dated February 3, 1983.

As to the petitioner PATRICK GENE POLAND, the court found aggravating circumstance, § 13-454E(1), is

not present, that § 13-454E(2) was present in that PATRICK GENE POLAND was convicted of bank robbery on October 5, 1981, that aggravating circumstance § 13-454E(3)³ is present, that the petitioner received something of pecuniary value, the court finds that aggravating circumstance § 13-454E(4)⁴ is present in that the killings were especially heinous, cruel and depraved.

As to petitioner MICHAEL KENT POLAND, the court found the aggravating circumstances in § 13-454E(1) is not present, that aggravating circumstances in § 13-454E(2) is not present, that aggravating circumstances in § 13-454E(3)⁵ is present in that the petitioner received something of pecuniary value, that aggravating circumstances in § 13-454E(4)⁶ is present in that the killings were especially heinous, cruel and depraved.

With regard to statutory mitigating circumstances the court found none. As to non-statutory mitigating circumstances the court found the petitioners previous reputation for good character is not a mitigating circumstance. It did find that the petitioners had close family ties with their families and their children as a mitigating circumstance. The court considered the ages of the petitioners, MICHAEL KENT POLAND is forty-two years old and PATRICK GENE POLAND is thirty-two years old. The

³ The correct statutory provision was former Ariz. Rev. Stat. Ann. § 13-454 E(5).

⁴ The correct statutory provision was former Ariz. Rev. Stat. Ann. § 13-454 E(6).

⁵ The correct statutory provision was former Ariz. Rev. Stat. Ann. § 13-454 E(5).

⁶ The correct statutory provision was former Ariz. Rev. Stat. Ann. § 13-454 E(6).

court further found the petitioners had conducted themselves as model prisoners during the pendency of the proceedings, trials and appeals. (Special Verdict dated February 3, 1983, Appendix pages 78-81.)

The trial court pronounced its judgment and sentence on February 3, 1983, finding three aggravating circumstances exist as to the petitioner PATRICK GENE POLAND and that there are no mitigating circumstances sufficient to call for leniency and imposed the death penalty. (Judgment and Sentence dated February 3, 1983, Appendix pages 5-7.) As to the petitioner, MICHAEL KENT POLAND, the court found two aggravating circumstances exist and no mitigating circumstances sufficient to call for leniency and imposed the death penalty. (Judgment and Sentence dated February 3, 1983, Appendix pages 2-4.) The trial judge further ordered that the Clerk of the Court file notice of appeal for each petitioner.

One of the issues raised by each petitioner was double jeopardy on the sentencing proceedings in that the single aggravating circumstance found by the trial court following their first trial had been struck by the Arizona Supreme Court for insufficient evidence. A unanimous court affirmed the guilt phase of the petitioners' second trial. A three member majority denied petitioners double jeopardy argument and explained their previous ruling as follows:

"Our holding in Poland I, however, was simply that the death penalty could not be based solely upon this aggravating circumstance because there was insufficient evidence to support it. This holding was not tantamount to a death penalty "acquittal"."

(*State v. Poland*, 698 P.2d 183, 188 (Ariz. 1985), Appendix page 109 and *State v. Poland*, 698 P.2d 207 at 209 (Ariz. 1985), Appendix page 127.)

Justice Gordon and Feldman, in their dissent from reimposition of the death penalty, stated:

A "death penalty acquittal" is final for double jeopardy purposes and the death sentence issue should not be retried even after an entirely new trial on the issue of guilt or innocence issue. (Appendix page 118.)

"As previously shown, then, our reversal of defendants death penalty sentence in Poland I equalled a final acquittal on that issue and as Bullington shows that final acquittal in the first trial prevents a retrial of the death sentence in the second trial." (Appendix page 125.)

The petitioners filed motions for reconsideration which was denied by the same three judge majority with two judges voting to grant said request. (Appendix page 134.) Each petitioner timely filed a separate petition for certiorari invoking this courts jurisdiction pursuant to 28 U.S.C. § 1257(3). The petition was granted by this court on October 7, 1985, and by further order of this court the cases were consolidated.

SUMMARY OF ARGUMENT

"Double Jeopardy Clause" of the fifth amendment to the United States Constitution prevents the State of Arizona from imposing the death penalty following a new trial. *Bullington v. Missouri*, 451 U.S. 430 (1981) and *Arizona v. Rumsey*, — U.S. — 104 S.Ct. 2305, 81 L.Ed.2d 164 (1984) have held that double jeopardy applies to the bifurcated sentencing trial in a capital murder case. In this case, the Arizona Supreme Court, rather than the trial court, effectively acquitted the petitioners of the death penalty by its finding insufficient evidence in Poland I. Insufficient evidence, whether found by a trial court or an appellate court triggers double jeopardy. (*Burks v.*

United States, 437 U.S. 1 (1978) and *Green v. Massey*, 437 U.S. 19 (1978).)

ARGUMENT

The Arizona Supreme Court derives its jurisdiction from the Arizona Constitution. Article 6, Section 5 (3) and (5) provides:

“The Supreme Court shall have:

(3) Appellate jurisdiction in all actions and proceedings except civil and criminal actions originating in courts not of record, unless the action involves the validity of a tax, impose, assessment, toll, statute or municipal ordinance.

(5) Power to make rules relative to all procedural matters in any court.”

Ariz.Rev.Stat.Ann. § 12-102 provides:

The Supreme Court shall discharge the duties imposed and exercise the jurisdiction conferred by the constitution and by law.

In exercising its authority under the Arizona Constitution, the Arizona Supreme Court has adopted 17 Ariz.Rev.Stat., Rules of Criminal Procedure, Rule 31.2B:

“b. AUTOMATIC APPEAL WHEN DEFENDANT IS SENTENCED TO DEATH. When a defendant has been sentenced to death, the Clerk, pursuant to Rule 26.15, shall file a notice of appeal on his behalf at the time of entry of judgment and sentence.”

By statutory law, the Legislature of the State of Arizona has provided, Ariz.Rev.Stat.Ann. § 13-4031:

“The State, or any party to a prosecution by indictment or information, may appeal to the court of appeals as prescribed by law and in the manner

provided by the Rules of Criminal Procedure, except criminal actions involving crimes for which a sentence of death or life imprisonment has actually been imposed may only be appealed to the Supreme Court."

Ariz.Rev.Stat.Ann. § 13-4032, provide for appeal by the State. An appeal may be taken by the State from:

1. An order quashing an indictment or information thereof.
2. An order granting a new trial.
3. An order arresting judgment.
4. A ruling on a question of law adverse to the state when the defendant was convicted and appeals from the judgment.
5. An order made after judgment affecting the substantial rights of the State.
6. The sentence on the grounds that it is illegal, or if the sentence imposed is other than the presumptive sentence authorized by § 13-604 or § 13-701.
7. An order granting a motion to suppress the use of evidence.

The Legislature has set forth the scope of review by the Supreme Court of Appeals in Ariz.Rev.Stat.Ann. § 13-4035:

"a. Upon appeal from a final judgment of conviction, the supreme court shall review all rulings affecting the judgment, even though a motion for a new trial was not made. If a motion for a new trial was made and denied, the court shall, on appeal from the judgment, review the action of the court below in denying a new trial. Upon appeal from an order denying a motion for a new trial or for arrest of judgment the court shall review all orders and rul-

ings made at or before the trial, or which affect the order appealed from."

"b. Upon an appeal taken by a defendant from the judgment, the Supreme Court shall review the entire record." (Formerly Ariz. Rev. Stat. Ann. § 13-1715.)

Ariz. Rev. Stat. Ann. § 13-4036, provides:

POWER OF SUPREME COURT ON APPEAL FROM JUDGMENT OF CONVICTION. The supreme court may reverse, affirm or modify the judgment appealed from, and may grant a new trial or render any judgment or make any order which is consistant with the justice and the rights of the state and the defendant. On an appeal from an order made after judgment, it may set aside, affirm, modify the order or any proceedings subsequent to or dependant upon such order.

And with regard to sentencing, the Arizona Legislature has provided in Ariz. Rev. Stat. Ann. § 13-4037:

POWER OF THE SUPREME COURT TO CORRECT AND REDUCE SENTENCE UPON APPEAL BY DEFENDANT.

A. Upon appeal by the defendant either from the judgment of conviction or from sentence, if an illegal sentence has been imposed upon a lawful verdict or finding of guilt by the court, the supreme court shall correct the sentence to correspond to the verdict or finding. The sentence as corrected shall be enforced by the court from which the appeal was taken.

B. Upon an appeal from the judgment or from the sentence on the ground that it is excessive, the court shall have the power to reduce the extent or duration of punishment imposed, if, in its opinion, the conviction is proper, but the punishment imposed is greater than under the circumstances of the case ought to be inflicted. In such case, the supreme court shall impose any legal sentence, not more severe than that

originally imposed, which in its opinion is proper. Such sentence shall be enforced by the court from which the appeal was taken.

With the foregoing Constitutional Law, Statutory Law and Rules of Criminal Procedure in mind, what is the status of the petitioners case on their first appeal? They had raised numerous issues as to the finding of guilt and, likewise, to the imposition of the death sentence. The State of Arizona did not cross-appeal. The Arizona Supreme Court reversed the finding of guilt and remanded the matter for a new trial because the jury had been guilty of misconduct. (*State v. Poland*, 645 P.2d 784, 796-800 (1982), Appendix pages 53-60.) With regard to the imposition of the death penalty they found insufficient evidence to establish beyond a reasonable doubt that the offense was committed in an especially heinous, cruel or depraved manner. (*State v. Poland*, *supra*, at 800, 801, Appendix pages 61-63.)

The United States Supreme Court has twice held that due to the seriousness of the life or death penalty in capital murder cases the "sentencing trial" is a bifurcated trial separate from the "guilt trial," that double jeopardy applies to the sentencing trial and it makes no difference whether the sentencer is a jury or a judge. (*Bullington v. Missouri*, 451 U.S. 430 (1981); *Rumsey v. Arizona*, — U.S. — 104 S.Ct. 2305, 81 L.Ed.2d 164 (1984).)

The distinguishing feature between *Bullington*, *Rumsey* and petitioners case, is that *Bullington* and *Rumsey* received a life sentence at their first sentencing trial which was sought to be increased or was increased to death. Whereas, the petitioners received the death sentence at the first sentencing trial.

The United States Supreme Court has previously held that the double jeopardy clause precludes a second trial

once the reviewing court has found the evidence legally insufficient. The only just remedy available being the direction of acquittal. (*Burks v. United States*, 437 U.S. 1 (1978).)

The principal of appellate acquittal based upon insufficiency of evidence as opposed to procedural error or the weight of evidence has been applied to the states. (*Green v. Massey*, 437 U.S. 19 (1978). This court has further explained the meaning of *Burks* in *Hudson v. Louisiana* 450 U.S. 40 (1981), where it was held *Burks* is not limited to "no evidence" to support the charge or the elements thereof but rather it applies where there is a finding of legally insufficient evidence.

The Arizona Supreme Court held in *State v. Rumsey*, 665 P.2d 48, 55 (Ariz. 1983):

"While we have an independent duty of review, we perform it as an appellate court, not as a trial court. We have never held that if the trial court finds sufficient mitigating circumstances we have independent power to reject its factual and legal conclusions and impose the death penalty. Our obligation on review is to determine whether "the punishment imposed is greater than the circumstances of the case warrant." (*State v. Richmond*, 114 Ariz. at 196, 560 P.2d at 51.) In capital cases we necessarily undertake an independent review of the facts that establish the presence or absence of aggravating and mitigating circumstances . . . [to] determine for ourselves if the latter outweigh the former . . . Our proportionality review is not to determine whether the life imprisonment was too lenient, but, rather, to determine "whether the sentences of death are excessive or disproportionate."

It is the petitioners logic that death penalty jeopardy attached when the trial court conducted its sentencing

hearing on February 29, 1980, because for jeopardy it has never made a difference whether a case was tried before a judge or a jury. (*United States v. Morrison*, 429 U.S. 1 (1976).)

The Arizona Supreme Court on the first appeal was presented with the issue of whether or not there was sufficient evidence to support the sole aggravating circumstances found by the sentencer to support the death penalty. The Arizona Supreme Court in its opinion of April 13, 1982, clearly indicated the aggravating circumstances found by the trial court must fail because of insufficient evidence. (Appendix pages 61-62.) Although the court below did not use the specific words, that the petitioners have been acquitted of the death penalty, no other rational conclusion can be obtained under the panoply of *Burks v. United States*, supra, *Green v. Massey*, supra, *Hudson v. Louisiana*, supra and *Rumsey v. Arizona*. The court below, by its finding of insufficient evidence, in effect reversed the petitioners death sentence constituting a final acquittal.

The Arizona Supreme Court takes the position that double jeopardy as applied to the sentencing trial is limited to the situation where the first trial results in the imposition of a life sentence, (Appendix page 109) and relied upon *Knapp v. Cardwell*, 667 F.2d 1253, 1264-65 (9th Cir.), cert. denied, 459 U.S. 1055 (1982). It is submitted *Knapp* does not apply to this case. In *Knapp*, the respective petitioners arguments were based upon the constitutionality of the Arizona death penalty statute as interpreted in *State v. Watson*, 586 P.2 1253 (Ariz. 1978). Of the thirty-four petitioners involved (See *Knapp v. Cardwell*, 513 F.Supp.4 (1980)) only the petitioner *Valencia* was in the position of having been resentenced pursuant to *State v. Watson*, supra, whereupon the trial court

found an additional aggravating circumstance not found at his original sentencing. (*State v. Valencia*, 602 P.2d 807 (Ariz. 1979). The Arizona Supreme Court in its opinion did not specifically address double jeopardy.

In *Knapp v. Cardwell*, 667 F.2d 1253, 1265, (1982, cert. denied, 459 U.S. 1055 (1982), the court held:

“In light of our finding that the Watson change in interpretation of § 13-454 is procedural and ameliorative and in light of our finding that Bullington is distinguishable we hold that this does not constitute double jeopardy.”

Petitioners submit their position is distinguishable from *Knapp v. Cardwell*, *supra*. The law of Arizona capital punishment has been clarified by *Rumsey v. Arizona*, *supra*, and the petitioners second sentencing trial was not occasioned by procedural error.

Last, but not least, Ariz.Rev.Stat.Ann. § 13-454 requires that the sentencer make specific findings as to each aggravating circumstance. Such procedure leaves nothing to doubt as to the sentencers' ruling on each aggravating circumstance. Just as the state, in order to convict for first degree murder, must establish a person unlawfully killed a human being with malice of forethought and premeditation, the petitioners submit upon conviction of a first degree murder, the prosecution must prove beyond a reasonable doubt at least one or more of the elements set forth in Ariz.Rev.Stat.Ann. § 13-454(F) before consideration of the alternative of a life sentence.

The petitioners position is not without authority, *Jones v. Thigpen*, 741 F.2d 805 (5th Cir. 1984), cert. pending, (*Thigpen v. Jones*, No. 84-1237, filed January 30, 1985). In *Young v. Kemp*, 760 F.2d 1097, 1101 (11th cir. 1985) (cert. pending, *Kemp v. Young*, No. 85-121 filed July 18, 1985):

"We conclude that the previous judgment of this court left intact the district courts' finding of insufficient evidence to support the death penalty, that being the case, the double jeopardy principles announced in *Burks v. United States*, 437 U.S. 1, 98th S.Ct. 2141, 57 L.Ed.2d 1 (1978), and *Bullington v. Missouri*, 451 U.S. 30 101 S.Ct. 1852, 68 L.Ed.2d 270 (1981), prevent the state from seeking the death penalty in Young's trial."

Likewise, in *Godfrey v. Francis*, 613 F.Supp. 747, 753-755 (D.C.GA. 1985), basing its opinion on the United States Supreme Courts' decision in *Godfrey v. Georgia*, 446 U.S. 420 (1980) to be a finding that this court found the record lacking in evidence to support a finding beyond a reasonable doubt that Godfrey's crime was outrageously or wantonly vile, horrible or inhuman, held:

"The State had its opportunity to force Godfrey to undergo the most severe test that exists in our legal system: standing trial for ones life. Having weathered the crucible once, Godfrey should not be put to the test again. Therefore, should the State choose to try Godfrey again, it may not seek to reimpose the death penalty."

CONCLUSION

Based upon *Bullington*, supra, *Rumsey*, supra, *Burks*, supra, *Green v. Massey*, supra, *Hudson v. Louisiana*, supra, and the Arizona Supreme Courts finding of insufficient evidence following the first sentencing trial, it is requested that this Court issue its Writ of Certiorari to the State of Arizona reversing the judgment of the Arizona Supreme Court and remanding this matter with direction that the State of Arizona may not impose the

death penalty upon the petitioners because double jeopardy applies.

Respectfully submitted

H. K. WILHELMSSEN

P.O. Box 2321

Prescott, Arizona 86302

(602) 445-3188

Counsel for Petitioners

No. 85-5023
No. 85-5024

Supreme Court, U.S.

FILED

JAN 2 1986

JOSEPH W. POLAND, JR.
CLERK

IN THE
Supreme Court of the United States
OCTOBER TERM, 1985

PATRICK GENE POLAND, *Petitioner*,
v.
STATE OF ARIZONA, *Respondent*.

MICHAEL KENT POLAND, *Petitioner*,
v.
STATE OF ARIZONA, *Respondent*.

**On Writs For Certiorari to
The Arizona Supreme Court**

RESPONDENT'S BRIEF ON THE MERITS

ROBERT K. CORBIN
Attorney General of
the State of Arizona

WILLIAM J. SCHAFER III
Chief Counsel
Criminal Division

*GERALD R. GRANT
Assistant Attorney General
Department of Law
1275 W. Washington
Phoenix, Arizona 85007
Telephone: (602) 255-4686
Attorneys for RESPONDENT

**Counsel of Record*

BEST AVAILABLE COPY

QUESTION PRESENTED

When the trial court found as one aggravating factor that the murders were heinous and sentenced petitioners to death, and at the same time found that a second aggravating factor of "pecuniary gain" would exist if the Arizona Supreme Court found that the term applied to murder-robberies, and when, on appeal, the Arizona Supreme Court reversed petitioners' convictions and found that the murders had not yet been proven heinous but that the "pecuniary gain" factor does apply to murder-robberies, did the double jeopardy clause preclude resentencing petitioners to death?

TABLE OF CONTENTS

	Page
QUESTION PRESENTED	i
TABLE OF CASES AND AUTHORITIES	iii
OPINIONS BELOW	1
CONSTITUTIONAL PROVISIONS INVOLVED	1
STATEMENT OF THE CASE	1
SUMMARY OF ARGUMENT	7
ARGUMENT	8
I. The Arizona Supreme Court did not "acquit" petitioners of the death penalty for double jeopardy purposes.	8
II. Pronouncement of a sentence is not an acquittal of any higher sentence.	17
CONCLUSION	18

TABLE OF CASES AND AUTHORITIES

CASES	Page
<i>Arizona v. Rumsey</i> , _____ U.S. _____, 104 S.Ct. 2305, 81 L.Ed.2d 164 (1984)	9,11,14,15,17,18
<i>Bullington v. Missouri</i> , 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (1981)	9,10,11,15,17,18
<i>Burks v. United States</i> , 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978)	12
<i>Chaffin v. Stynchcombe</i> , 412 U.S. 17, 93 S.Ct. 1977, 36 L.Ed.2d 714 (1973)	9
<i>Godfrey v. Francis</i> , 613 F.Supp. 747 (D.C.Ga. 1985) . . .	16
<i>Greene v. Massey</i> , 437 U.S. 19, 98 S.Ct. 2151, 57 L.Ed.2d 15 (1978)	12,13
<i>Greene v. Massey</i> , 706 F.2d 548 (5th Cir. 1983)	13
<i>Green v. Zant</i> , 738 F.2d 1529 (11th Cir. 1984)	16
<i>Hopkinson v. State</i> , 664 P.2d 43 (Wyo. 1983)	16
<i>Hudson v. Louisiana</i> , 450 U.S. 40, 101 S.Ct. 970, 67 L.Ed.2d 30 (1981)	12
<i>Jones v. Thigpen</i> , 741 F.2d 805 (5th Cir. 1984)	16
<i>Justices of Boston Municipal Court v. Lydon</i> , _____ U.S. _____, 104 S.Ct. 1805, 80 L.Ed.2d 311 (1984)	16
<i>North Carolina v. Pearce</i> , 395 U.S. 711, 89 S.Ct. 2072, 23 L.Ed.2d 656 (1969)	9
<i>Pennsylvania v. Goldhammer</i> , _____ U.S. _____, 106 S.Ct. 353, _____ L.Ed.2d _____ (1985)	17
<i>Spaziano v. Florida</i> , _____ U.S. _____, 104 S.Ct. 3154, 82 L.Ed.2d 340 (1984)	16
<i>Spaziano v. State</i> , 443 So.2d 508 (Fla. 1983)	16
<i>State v. Gretzler</i> , 135 Ariz. 42, 659 P.2d 1 (1983)	16
<i>State v. Poland (Patrick)</i> , 144 Ariz. 388, 698 P.2d 183 (1985)	1,5,6,7,14
<i>State v. Poland (Michael)</i> , 144 Ariz. 412, 698 P.2d 207 (1985)	1,5,6,7,14
<i>State v. Poland</i> , 132 Ariz. 269, 645 P.2d 784 (1982)	1,3,4,14,15

Table of Cases and Authorities Continued

CASES	Page
<i>State v. Rumsey</i> , 136 Ariz. 166, 665 P.2d 48 (1983)	15
<i>State v. Tison</i> , 129 Ariz. 526, 633 P.2d 335 (1982)	15
<i>Stroud v. United States</i> , 251 U.S. 18, 40 S.Ct. 50, 64 L.Ed. 103 (1919)	9
<i>United States v. DiFrancesco</i> , 449 U.S. 117, 101 S.Ct. 426, 66 L.Ed.2d 328 (1980)	9
<i>Young v. Kemp</i> , 760 F.2d 1097 (11th Cir. 1985)	16
<i>Zant v. Redd</i> , 249 Ga. 211, 290 S.E.2d 36 (1983)	16

STATUTES

Ariz.Rev.Stat.Ann.

§ 13-454(A)	1
§ 13-454(C)	2
§ 13-454(E)(1)	2
§ 13-454(E)(2)	2,4
§ 13-454(E)(5)	2
§ 13-454(E)(6)	2
§ 13-702	17
§ 13-703	17

Arizona Rules of Criminal Procedure

Rule 26.15	2
Rule 31.2(b)	2

28 U.S.C.

§ 1257(3)	7
-----------------	---

CONSTITUTIONAL PROVISIONS

United States Constitution

Fifth Amendment	1
-----------------------	---

United States Constitution

Fourteenth Amendment	1
----------------------------	---

OPINIONS BELOW

The Arizona Supreme Court opinions holding that the double jeopardy clause did not preclude petitioners' death sentences are reported at 144 Ariz. 388, 698 P.2d 183 (1985) [Petitioner Patrick Gene Poland], and at 144 Ariz. 412, 698 P.2d 207 (1985) [Petitioner Michael Kent Poland].

The Arizona Supreme Court opinion reversing petitioners' convictions and remanding the matter for a new trial is reported at 132 Ariz. 269, 645 P.2d 784 (1982).

CONSTITUTIONAL PROVISIONS INVOLVED

The pertinent part of the Fifth Amendment to the United States Constitution provides:

(N)or shall any person be subject for the same offense to be twice put in jeopardy of life or limb

The pertinent part of the Fourteenth Amendment to the United States Constitution provides:

(N)or shall any State deprive any person of life, liberty, or property, without due process of law

STATEMENT OF THE CASE

On April 26, 1979, the grand jury of Yavapai County, Arizona, returned an indictment charging petitioners with two counts of first-degree murder in the killings of Russell Dempsey and Cecil Newkirk. The case proceeded to trial before a jury, and on November 24, 1979, that jury found both men guilty of the charges.

Pursuant to former Ariz.Rev.Stat.Ann. § 13-454(A), the trial court scheduled a sentencing hearing for February 29, 1980. At that hearing, the prosecution, relying upon the evidence presented at trial, argued that two statutory aggravating circumstances were present: (1) that petitioners had committed the murders as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary

value;¹ and (2) that petitioners had committed the murders in an especially heinous, cruel, or depraved manner.² The prosecution also submitted a memorandum urging the trial court to find the same two aggravating circumstances. (Joint Appendix, at 8-10.)

The trial court scheduled sentencing for April 9, 1980. Pursuant to former Ariz.Rev.Stat. Ann. § 13-454(C), the trial court returned a special verdict setting forth its findings on the existence or non-existence of the aggravating and mitigating circumstances. In that verdict, the court found that the aggravating factors set out in former Ariz.Rev.Stat. Ann. § 13-454(E)(1) and (2) were not present. (Joint Appendix, at 15.) With respect to the "pecuniary gain" aggravating circumstance, the trial court made the following finding:

3. The court finds the aggravating circumstance in § 13-454 E(3) [sic] is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00

This, then, would be an aggravating circumstance.

(Joint Appendix, at 15-16.) The court also found that the "especially heinous, cruel, or depraved" aggravating factor was present. (Joint Appendix, at 16.) Finding no mitigating circumstances sufficiently substantial to call for leniency, the court sentenced petitioners to death. (Joint Appendix, at 14.)

Pursuant to Rules 26.15 and 31.2(b), Arizona Rules of Criminal Procedure, the clerk of the trial court filed notices of appeal on petitioners' behalf. The state did not cross-appeal. Petitioners filed a joint appellate brief with the Arizona Supreme Court. In that brief petitioners argued, among

¹ Former Ariz.Rev.Stat. Ann. § 13-454(E)(5).

² Former Ariz.Rev.Stat. Ann. § 13-454(E)(6).

other things, that there was insufficient evidence to support the trial court's finding of the "especially heinous, cruel or depraved" aggravating circumstance, and that their death sentences were therefore improper. (Joint Appendix, at 23-28.) In its answering brief respondent argued that the evidence did support the challenged circumstance. Respondent also asked the Arizona Supreme Court to clarify the trial court's conditional ruling on the "pecuniary gain" aggravating circumstance and find that circumstance to also be present. (Joint Appendix, at 18-21.)

On April 13, 1982, the Arizona Supreme Court filed its opinion. After rejecting a number of petitioners' claims of error, the court found that jurors had improperly considered evidence that had not been admitted at trial. This conduct, the court concluded, entitled petitioners to a new trial. *State v. Poland*, 132 Ariz. 269, 283-84, 645 P.2d 784, 798-99 (1982). The supreme court went on to discuss the trial court's findings concerning the imposition of the death penalty. With respect to the "especially heinous, cruel, or depraved" aggravating circumstance, the court made the following comments:

We do not believe that the evidence so far produced in this case shows that the murders were cruel. . . .

Neither does the evidence support a finding that the murders were heinous or depraved. . . .

. . . We do not believe it has been shown beyond a reasonable doubt that the murders were committed in an "especially heinous, cruel or depraved manner."

132 Ariz. at 285, 645 P.2d at 800. With respect to the "pecuniary gain" aggravating circumstance, the court made the following comments:

We do note, however, that the trial court mistook the law when it did not find that the defendants "committed the offense as consideration for the receipt, or in expectation of the receipt, of anything of pecuniary value." A.R.S. § 13-454(E)(5). In so holding, the trial judge stated:

"5. The court finds the aggravating circumstance in § 13-454E(5) is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00.

This, then, would be an aggravating circumstance."

It was not until after the trial in this case that we held, in *State v. Clark, supra*, that A.R.S. § 13-454(E)(5) was not limited to "murder for hire" situations, but may be found where any expectation of financial gain was a cause of the murder. Upon retrial, if the defendants are again convicted of first degree murder, the court may find the existence of this aggravating circumstance.

132 Ariz. at 285-86, 645 P.2d at 800-01. The court remanded the matter for a new trial.

Petitioners' retrial commenced on October 18, 1982. One month later, a jury again found both men guilty of the two first-degree murder charges.

The trial court set the required sentencing hearing for December 16, 1982. At that hearing (which continued on January 11, 1983), the prosecution, relying on the evidence presented at trial and presenting additional evidence, argued that the "pecuniary gain" and "especially heinous, cruel, or depraved" aggravating factors were present for both petitioners. It also argued that petitioner Patrick Poland had previously been convicted of a felony involving the use or threat of violence on another person.³

On February 3, 1983, the trial court returned its special verdict. In that verdict, the court found that the "pecuniary gain" and "especially heinous, cruel, or depraved" aggravating circumstances were present for both petitioners. It

³Former Ariz.Rev.Stat.Ann. § 13-454(E)(2). On October 5, 1981, petitioner Patrick Poland, in an unrelated case, was convicted of bank robbery and use of a dangerous weapon in a bank robbery.

found an additional aggravating circumstance for petitioner Patrick Poland: his prior felony convictions for crimes involving the use or threat of violence on another person. (Joint Appendix, at 78-80.) Finding no mitigating evidence sufficiently substantial to call for leniency, the trial court again sentenced petitioners to death. (Joint Appendix, at 3-4.)

On direct appeal to the Arizona Supreme Court, petitioners argued, among other things, that they had been "acquitted" of the death penalty on their first appeal. Therefore, they concluded, the double jeopardy clauses of the United States and Arizona Constitutions prohibited subsequent imposition of the death penalty.

The Arizona Supreme Court decided petitioners' appeals on March 20, 1985. *State v. Poland (Patrick)*, 144 Ariz. 388, 698 P.2d 183 (1985); *State v. Poland (Michael)*, 144 Ariz. 412, 698 P.2d 207 (1985). The supreme court unanimously affirmed petitioners' convictions.

The court, however, split over the sentencing double jeopardy issue. Justice Cameron, writing for a 3-member majority, concluded that the court had not "acquitted" petitioners of the death penalty in their first appeal:

Defendant contends that *Bullington* and *Rumsey* bar reimposition of the death penalty in the instant case. We do not agree. In those cases, the respective defendants were sentenced to terms of imprisonment. Upon remand, each was sentenced to death. The United States Supreme Court held that the Double Jeopardy Clause barred imposition of the death penalty in those cases. These holdings were based upon the fact that the respective state sentencing procedures resembled trials. Accordingly, because each defendant was initially sentenced to a term of imprisonment, he was impliedly "acquitted" of the death penalty.

In the instant case, defendant was sentenced to death at the end of his first trial. There was no implied "acquittal" of the death penalty. *Bullington* and *Rumsey* do not, therefore, apply. See *Knapp v. Cardwell*, 667

F.2d 1253, 1264-65 (9th Cir.), *cert. denied*, 459 U.S. 1055, 103 S.Ct. 473, 74 L.Ed.2d 621 (1982).

Defendant argues, however, that he was impliedly "acquitted" of the death penalty at the appellate level because *Poland I*, *supra*, overturned the single aggravating circumstance upon which his previous death sentence was based, that is that the murders were committed in an especially heinous, cruel or depraved manner, A.R.S. § 13-703(F)(6). Our holding in *Poland I*, however, was simply that the death penalty could not be based solely upon this aggravating circumstance because there was insufficient evidence to support it. This holding was not tantamount to a death penalty "acquittal."

State v. Poland (Patrick), *supra*, 144 Ariz. at 404, 698 P.2d at 199; *accord*, *State v. Poland (Michael)*, *supra*, 144 Ariz. at 414, 698 P.2d at 209. The majority went on to find that the evidence still did not support the "especially heinous, cruel or depraved" aggravating circumstance, but did support the "pecuniary gain" and "prior conviction involving violence" aggravating circumstances. The majority concluded that petitioners' death sentences were appropriate. *State v. Poland (Patrick)*, *supra*, 144 Ariz. at 404-07, 698 P.2d at 199-202; *State v. Poland (Michael)*, *supra*, 144 Ariz. at 415-16, 698 P.2d at 210-11.

Justice Gordon, writing in dissent, disagreed with the majority's resolution of the double jeopardy issue. He felt that the supreme court had indeed "acquitted" petitioners of the death penalty in the first appeal:

Our decision in *Poland I* was surely a reversal of defendant's death penalty "conviction" for insufficient evidence constituting a final acquittal of that charge. In *Poland I* the trial court found one aggravating circumstance upon which it based the death penalty: A.R.S. § 13-454(E)(6) (now § 13-703(F)(6)), that defendant committed the offense in an especially heinous, cruel, or depraved manner. Because of a mistake of law, however, the trial court failed to find the pecuniary gain aggravating circumstance, A.R.S. § 13-454(E)(5)

(now § 13-703(F)(5)). On appeal, this Court thoroughly analyzed the lone aggravating circumstance supporting defendant's death penalty, and we found it nonexistent because of insufficient evidence. As a matter of common sense, then, when this Court struck down the sole aggravating factor found by the trial court to justify defendant's death penalty because of insufficient evidence, we necessarily reversed defendant's death penalty "conviction" for lack of sufficient evidence.

State v. Poland (Patrick), *supra*, 144 Ariz. at 409, 698 P.2d at 204, *accord*, *State v. Poland (Michael)*, *supra*, 144 Ariz. at 416, 698 P.2d at 211. Thus, Justice Gordon concluded that reimposition of petitioners' death sentences was constitutionally prohibited.

Petitioners filed motions contesting the supreme court's affirmance of their convictions and the majority's resolution of the double jeopardy issue. On May 7, 1985, the supreme court denied the motions, with Justices Gordon and Feldman voting to grant.

Petitioners next filed petitions for writ of certiorari pursuant to 28 U.S.C. § 1257(3). On October 7, 1985, this Court granted the petitions for writ of certiorari, limited to the double jeopardy question.

SUMMARY OF ARGUMENT

The Arizona Supreme Court did not "acquit" petitioners of the death penalty on their first appeal. The court's comments regarding petitioners' sentences cannot be read as a finding that the state had failed to prove its case for the death penalty, particularly in light of the trial court's treatment of the "pecuniary gain" aggravating circumstance. At most, the Arizona Supreme Court "acquitted" petitioners of a single aggravating circumstance. Since the protection of the double jeopardy clause does not extend to individual aggravating circumstances, reimposition of the death penalty in this case is not prohibited by the constitution.

Further, this Court should reconsider its decisions that,

in capital cases, pronouncement of a sentence is an acquittal of any higher sentence. While certain sentencing procedures may resemble trial procedures, the purposes of trials and sentencings are different. Therefore, the protection of the double jeopardy clause should not be extended to the imposition of sentences.

ARGUMENT

The issue in this case is a narrow one. Petitioners were found guilty of first-degree murder and the trial court imposed death sentences. In its special verdict that preceded the imposition of sentence, the trial court found the existence of one aggravating circumstance (that the murders were especially heinous, cruel or depraved) and due to an uncertainty over the legal meaning of a second aggravating circumstance, made a conditional finding of that circumstance (that the murders were committed for pecuniary gain). On appeal the petitioners contended, among other things, that the evidence did not support the trial court's finding of the "heinous, cruel or depraved" aggravating circumstance. The appellate court, after reversing petitioners' convictions due to jury misconduct, discussed the imposition of the death penalty. It stated that the evidence "so far produced" did not support the "heinous, cruel or depraved" circumstance. It went on to note the trial court's uncertainty over the legal meaning of the "pecuniary gain" circumstance, stated its legal meaning, quoted the court's factual findings, and stated that the trial court "may find" that circumstance should petitioners again be convicted of first-degree murder upon retrial. The issue here is whether the appellate court "acquitted" petitioners of the death penalty so that subsequent death sentences violate the Double Jeopardy Clause.

- I. *The Arizona Supreme Court did not "acquit" petitioners of the death penalty for double jeopardy purposes.*

Until recently, this Court had never considered the imposition of a sentence to be an acquittal of any higher sentence. For example, this Court has upheld sentences after retrial

more severe than the original sentences. *Chaffin v. Stynchcombe*, 412 U.S. 17, 93 S.Ct. 1977, 36 L.Ed.2d 714 (1973); *North Carolina v. Pearce*, 395 U.S. 711, 89 S.Ct. 2072, 23 L.Ed.2d 656 (1969); *Stroud v. United States*, 251 U.S. 15, 40 S.Ct. 50, 64 L.Ed. 103 (1919). It has also allowed the government to appeal what the government considers an inadequate sentence. *United States v. DiFrancesco*, 449 U.S. 117, 101 S.Ct. 426, 66 L.Ed.2d 328 (1980). Thus, sentences have traditionally not had the finality of jury verdicts.

This Court has, however, recognized exceptions to that tradition. *Bullington v. Missouri*, 451 U.S. 430, 101 S.Ct. 1852, 68 L.Ed.2d 270 (1981), and *Arizona v. Rumsey*, _____ U.S. _____, 104 S.Ct. 2305, 81 L.Ed.2d 164 (1984), held that the double jeopardy clause prohibited imposition of death sentences once a defendant had been "acquitted" of the death penalty. The stated reason for this was that the capital sentencing procedures in Missouri and Arizona so resembled the procedures in a jury trial on the issue of guilt that the two could not be distinguished for double jeopardy purposes. The Missouri and Arizona sentencing procedures differed from those considered in this Court's previous decisions where the imposition of a particular sentence was not regarded as an acquittal.

Bullington was convicted of capital murder. At the statutorily mandated sentencing hearing, the prosecution presented evidence and argued that the presence of two statutory aggravating factors called for the death penalty. The jury's sentencing verdict, however, fixed Bullington's punishment not at death, but at imprisonment for life. The trial court granted Bullington's subsequent motion for a new trial. The prosecution then announced its intention to seek the death penalty after retrial. Both the trial court and the Missouri Supreme Court rejected Bullington's claim that the double jeopardy clause barred imposition of the death penalty after the first jury had declined to impose it. This Court then granted review. After concluding that Missouri's capital sentencing procedure resembled a trial on

the issue of guilt or innocence, this Court held that the jury's verdict imposing a life sentence constituted a determination that the prosecution had failed to "prove its case" that Bullington deserved the death penalty. Thus, the double jeopardy clause precluded imposition of the death penalty at Bullington's retrial.

Rumsey was convicted of first-degree murder. At the statutorily mandated sentencing hearing, the state relied upon the evidence presented at trial to argue that three statutory aggravating factors were present and that the death penalty was appropriate. In its special sentencing verdict, the trial court found that no aggravating factors were present. Since such a finding meant that the court was statutorily barred from sentencing Rumsey to death, it sentenced him to life imprisonment, the only remaining alternative. Rumsey appealed to the Arizona Supreme Court, arguing that a consecutive robbery sentence was illegal. The state cross-appealed, arguing that the trial court had made an error of law in interpreting the "pecuniary gain" aggravating factor to apply only to contract killings. The supreme court rejected Rumsey's claim but agreed with the state, and remanded to the trial court for resentencing on the murder charge. At that resentencing, the trial court found the "pecuniary gain" aggravating factor and no mitigating factors sufficient to call for leniency. It therefore sentenced Rumsey to death. On appeal the Arizona Supreme Court, relying upon this Court's decision in *Bullington*, concluded that Rumsey had been "acquitted" of death at his initial sentencing and that his subsequent death sentence violated the constitutional prohibition against double jeopardy. This Court granted the state's petition for writ of certiorari and affirmed the Arizona Supreme Court's decision. This Court stated that Arizona's capital sentencing procedure was indistinguishable from that of Missouri for purposes of the double jeopardy clause. Thus, it concluded that the trial court's original imposition of a life sentence, even though based on a misconstruction of the "pecuniary gain" factor, constituted an "acquittal on

the merits" of the death penalty "charge" and retrial on the same "charge" was barred.

Bullington and *Rumsey* do not mandate relief in petitioners' cases. To begin with, the trial court imposed the death penalty at petitioners' first sentencing. In its special verdict supporting those death sentences, the trial court found the existence of the "heinous, cruel or depraved" aggravating circumstance. It also made the following finding regarding the "pecuniary gain" aggravating circumstance:

3. The court finds the aggravating circumstance in § 13-454 E(3) [sic] is not present. This presumes the legislative intent was to cover a contract killing. If this presumption is inaccurate, the evidence shows the defendants received something of pecuniary value, cash in the amount of \$281,000.00.

This, then, would be an aggravating circumstance.

(Joint Appendix, at 15-16.) The trial court in *Rumsey* specifically found the "pecuniary gain" factor did not exist. It also made no factual findings regarding the factor. Furthermore, on appeal, the Arizona Supreme Court reversed petitioners' convictions. In its subsequent discussion of the death penalty, the court stated that the evidence "so far produced" did not establish the "heinous, cruel or depraved" circumstance. It also took note of the trial court's finding regarding the "pecuniary gain" factor, dispelled the trial court's uncertainty over the legal meaning of the factor, and stated that the trial court could find the existence of the factor in the event of petitioners' convictions following retrial. The Arizona Supreme Court did not state that the evidence was insufficient to support petitioners' death sentences. It did not state that the state had failed to prove its case on the death penalty "charge." It did not "acquit" petitioners of the death penalty.

Petitioners argue that on the first appeal the Arizona Supreme Court found the evidence insufficient to support

the sole aggravating circumstance found by the trial court. Without that circumstance, they assert, there was nothing to support the death sentences. Relying upon *Hudson v. Louisiana*, 450 U.S. 40, 101 S.Ct. 970, 67 L.Ed.2d 30 (1981), *Greene v. Massey*, 437 U.S. 19, 98 S.Ct. 2151, 57 L.Ed.2d 15 (1978), and *Burks v. United States*, 437 U.S. 1, 98 S.Ct. 2141, 57 L.Ed.2d 1 (1978), petitioners conclude that the Arizona Supreme Court necessarily "acquitted" them of the death penalty.

These cases do not support petitioners' position. In *Hudson*, the trial court granted a new trial because the state had failed to prove Hudson's guilt of first-degree murder as a matter of law; the state supreme court agreed that this was what the trial court had done. The finding by the Arizona Supreme Court that the evidence "so far produced" did not establish a single aggravating factor, coupled with its finding regarding the second aggravating factor, is a far cry from the much more explicit finding in *Hudson*.

In the *Burks* case, an appellate court found that the government failed to meet its burden of proving Burks' sanity beyond a reasonable doubt. The government must prove all elements of the crime charged. If it fails to prove any one of those elements, it has failed to prove guilt. In contrast, the state of Arizona does not need to prove every aggravating circumstance to prove the death penalty "charge." It need only prove one. Thus, a finding that the evidence is insufficient to support one aggravating factor is not necessarily a finding that the evidence is insufficient to support the death penalty.

As for *Greene*, the holding therein supports respondent's position more than it supports petitioners'. The Florida Supreme Court reversed Greene's conviction in a per curiam opinion joined by four justices. That opinion stated that "the evidence was definitely lacking in establishing beyond a reasonable doubt that [Greene] committed murder in the first degree" However, three of the four justices who had joined the per curiam opinion also filed a separate

“special concurrence.” That concurrence made no mention of evidentiary insufficiency, but did discuss a trial error that required reversal. Greene was then retried and convicted of murder. Eventually, Greene brought to this Court his claim that the double jeopardy clause barred his retrial because of the appellate court’s finding of evidentiary insufficiency. This Court noted that the inconsistencies between the per curiam opinion and the special concurrence made the basis for the state appellate court’s reversal unclear, and therefore remanded the case to the federal court of appeals for reconsideration:

The Court of Appeals will be free to direct further proceedings in the District Court or to certify unresolved questions of state law to the Florida Supreme Court.

Greene v. Massey, supra, 437 U.S. at 27, 98 S.Ct. at 2155.⁴

In petitioners’ cases, if there is uncertainty over whether the Arizona Supreme Court’s finding of evidentiary insufficiency regarding the “heinous, cruel or depraved” aggravating circumstance was also a finding of evidentiary insufficiency regarding the death penalty, such uncertainty is best resolved by the Arizona Supreme Court. A majority of that court ended any uncertainty on petitioners’ appeals following their retrials:

Our holding in *Poland I*, however, was simply that the death penalty could not be based solely upon this aggravating circumstance because there was insufficient evidence to support it. This holding was not tantamount to a death penalty “acquittal.”

⁴The Court of Appeals did certify questions to the Florida Supreme Court in an effort to determine the basis for their reversal of Greene’s conviction. After receiving the Florida court’s answers, the federal court concluded that a retrial had been ordered on the bases of evidentiary weight and the “interests of justice” and not on the basis of insufficiency of the evidence. The federal court therefore denied Greene any relief on his double jeopardy claim. *Greene v. Massey*, 706 F.2d 548 (5th Cir. 1983), cert. denied, ____ U.S. ____, 104 S.Ct. 718, 79 L.Ed.2d 180, rehearing denied, ____ U.S. ____, 104 S.Ct. 1431, 79 L.Ed.2d 754 (1984).

State v. Poland (Patrick), *supra*, 144 Ariz. at 404, 698 P.2d at 199, *accord*, *State v. Poland (Michael)*, *supra*, 144 Ariz. at 414, 698 P.2d at 209.

Petitioners attempt to deal with the Arizona Supreme Court's discussion of the "pecuniary gain" factor in *Poland I*. They argue that the state's failure to cross-appeal from the trial court's finding that the factor did not exist deprived the appellate court of jurisdiction regarding that factor. Petitioners' argument is flawed from the start. The trial court, unlike the trial court in *Rumsey*, did not find that the "pecuniary gain" factor did not exist. It was uncertain of the correct legal meaning of the factor and thus made findings of fact in accordance with the only apparent interpretations: that this was not a "contract killing," but that it was committed for pecuniary gain. It thus left the Arizona Supreme Court a factual basis upon which to apply the correct legal meaning of the factor. Since there was no finding that the factor simply did not exist (as was the case in *Rumsey*), there was no need for a cross-appeal. The Arizona Supreme Court has consistently stated its scope of review in death penalty cases:

Our obligation on review is to determine whether the punishment imposed is greater than the circumstances of the case warrant." *State v. Richmond*, 114 Ariz. at 196, 560 P.2d at 51. In capital cases "we necessarily undertake an independent review of the facts that establish the presence or absence of aggravating and mitigating circumstances . . . [to] determine for ourselves if the latter outweigh the former" *Id.* (citations omitted). Our proportionality review is not to determine whether life imprisonment was too lenient, but, rather, to determine "whether the sentences of death are excessive or disproportionate." *Id.* The purpose of our review is well stated in the Supreme Court's opinion regarding the Florida statute, which is similar to ours.

That legislation provides that after a person is convicted of first-degree murder, there shall be an informed, focused, guided, and objective inquiry into

the question whether he should be sentenced to death. If a death sentence is imposed, the sentencing authority articulates in writing the statutory reasons that led to its decision. Those reasons, and the evidence supporting them, are conscientiously *reviewed* by a court which, because of its statewide jurisdiction, can assure consistency, fairness, and rationality in the evenhanded operation of the state law.

Proffitt v. Florida, 428 U.S. 242, 259-60, 96 S.Ct. 2960, 2970, 49 L.Ed.2d 913 (1976) (emphasis supplied).

State v. Rumsey, 136 Ariz. 166, 173, 665 P.2d 48, 55 (1983). In carrying out its review of death penalty cases, the Arizona Supreme Court has on another occasion found the existence of an aggravating circumstance not found by the trial court. *State v. Tison*, 129 Ariz. 526, 544, 633 P.2d 335, 353 (1981), *cert. denied*, 459 U.S. 882 (1982). Thus, the absence of a state cross-appeal did not preclude the Arizona Supreme Court in *Poland I* from treating the "pecuniary gain" factor.

Petitioners' ultimate position in this case appears to call for an extension of this Court's holdings in *Rumsey* and *Bullington* so that not only would Arizona's capital sentencing scheme be comparable to a trial for purposes of the double jeopardy clause, but also that sentencing "trial" would consist of a number of separate "trials" on the existence or nonexistence of each individual aggravating circumstance. Petitioners would have this Court hold that a trial court's failure to find the existence of an aggravating factor constitutes an "acquittal" of that factor. Thus, double jeopardy notions would preclude any finding of that circumstance at a subsequent resentencing.

This Court should not extend the protection of the double jeopardy clause this far. Double jeopardy protection only comes into play where there has been an end to a criminal proceeding, e.g., a jury verdict of not guilty, or a judge's or jury's decision to impose a life sentence rather than the death penalty in certain trial-like capital sentencing

proceedings. See *Justices of Boston Municipal Court v. Lydon*, _____ U.S. _____, 104 S.Ct. 1805, 80 L.Ed.2d 311 (1984). A number of lower courts considering this question have concluded that for purposes of double jeopardy protection, there is no such thing as an "acquittal" of an aggravating circumstance in a capital sentencing proceeding. See, e.g., *Green v. Zant*, 738 F.2d 1529 (11th Cir.), cert. denied, _____ U.S. _____, 105 S.Ct. 607, 83 L.Ed.2d 716 (1984); *Hopkinson v. State*, 664 P.2d 43 (Wyo.), cert. denied, _____ U.S. _____, 104 S.Ct. 262, 78 L.Ed.2d 246 (1983); *State v. Gretzler*, 135 Ariz. 42, 659 P.2d 1, cert. denied, 461 U.S. 971, (1983); *Spaziano v. State*, 443 So.2d 508 (Fla. 1983);⁵ *Zant v. Redd*, 249 Ga. 211, 290 S.E.2d 36 (1982), cert. denied, 463 U.S. 1213 (1983). However, there is also opposing lower court authority. See, e.g., *Young v. Kemp*, 760 F.2d 1097 (11th Cir. 1985); *Jones v. Thigpen*, 741 F.2d 805 (5th Cir. 1984); *Godfrey v. Francis*, 613 F.Supp. 747 (D.C.Ga. 1985). None of these last three decisions is yet final. Even if this Court were to follow them, petitioners herein have never been "acquitted" of the "pecuniary gain" factor, and thus have never been "acquitted" of the death penalty.

Petitioners' cases present an additional reason for not applying double jeopardy protection to individual aggravating factors. At the time of his first sentencing, petitioner Patrick Poland did not have a prior conviction involving the use of violence. The trial court consequently found that the aggravating circumstance of a prior felony conviction involving violence did not exist. However, by the time of his second sentencing, petitioner did have such a conviction and the trial court consequently found that aggravating factor. Circumstances essential to a sentencing decision, unlike the elements of a crime, can change over time. The double jeopardy clause should not preclude consideration of

⁵ This Court affirmed Spaziano's conviction and sentence in *Spaziano v. Florida*, _____ U.S. _____, 104 S.Ct. 3154, 82 L.Ed.2d 340 (1984), although it did not consider the "double jeopardy - aggravating circumstance" issue.

changed circumstances in a sentencing decision.

II. *Pronouncement of a sentence is not an acquittal of any higher sentence.*

As a separate and independent ground for denying petitioners relief, respondent submits that this Court should overrule its decisions in *Bullington* and *Rumsey*. This court has attempted to limit the effect of those decisions to capital cases. See *Pennsylvania v. Goldhammer*, _____ U.S. _____, 106 S.Ct. 353, _____ L.Ed.2d _____ (1985). Given a sentencing procedure sufficiently similar to a trial, however, there is no reason why courts will not attempt to extend those decisions to non-capital cases. Arizona's non-capital sentencing scheme, for example, bears a number of similarities to its capital sentencing scheme. Compare Ariz.Rev.Stat. Ann. §§ 13-702 and 13-703. Extending double jeopardy protection to non-capital sentences will have a detrimental effect on the criminal justice system. It will prevent consideration of changed circumstances between sentencing and resentencing. It will protract sentencings by making lengthy hearings almost a necessity. It will allow consideration of only those things that can be proved beyond a reasonable doubt. Thus, prosecutors unable to meet that burden of proof will not present all of the information at their disposal, thereby depriving the sentencer of the means to judge a defendant's character.

Despite any similarities in procedures, trials and sentencings have fundamentally different purposes. The purpose of the former is to discover guilt or innocence of the crime charged. That crime has elements that must always be proved; those elements never change. The double jeopardy clause recognizes the importance of a finding of guilt. Retrials increase the possibility of an innocent man being found guilty, and the double jeopardy clause protects against that possibility. At sentencing, the key question of guilt or innocence has been laid to rest. There is no "innocent man" at sentencing and thus the protection of the double jeopardy clause is not needed.

The capital sentencing procedures *Bullington* and *Rumsey* found to be "like a trial" were enacted by the states in response to this Court's concerns that the death penalty was being imposed in an arbitrary and freakish manner. These procedures were designed to limit discretion and provide for more rational and even-handed imposition of death sentences. Yet by attaching double jeopardy protection to these procedures, this Court has "built in" an arbitrary and freakish element in capital sentencing. For example, two defendants before two different judges may arrive at sentencing with exactly the same circumstances present. If one defendant's sentencing judge knows the legal meaning of the "pecuniary gain" factor and the other does not, only one defendant will receive the death penalty when in fairness both should. Freakish results on the question of guilt are tolerable because of the concern that an innocent man may be convicted. But there is no similar concern at sentencing and thus no good reason to tolerate freakish results. By overruling *Bullington* and *Rumsey*, this Court can reduce the possibility of arbitrary and freakish results in death penalty cases.

CONCLUSION

No court has ever "acquitted" petitioners of the death penalty. The trial court's factual findings at the initial sentencing did not rule out the existence of the "pecuniary gain" factor. Thus, when the Arizona Supreme Court found an evidentiary insufficiency with respect to the "heinous, cruel or depraved" factor, it did not "acquit" petitioners of the death

penalty. The judgment of the Arizona Supreme Court upholding petitioners' death sentences should be affirmed.

Respectfully submitted,

ROBERT K. CORBIN
Attorney General

WILLIAM J. SCHAFER III
Chief Counsel
Criminal Division

GERALD R. GRANT
Assistant Attorney General

Attorneys for Respondent